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Financial reports and audited financial statements, and reports of the Board of Auditors

Note by the Secretary-General

The Secretary-General has the honour to transmit to the General Assembly a letter dated 28 June 2001 from the Chairman of the Board of Auditors transmitting the report of the Board on implementation of its recommendations, submitted in accordance with General Assembly resolution 52/212 B of 31 March 1998.

* A/56/50.

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Annex

Letter dated 28 June 2001 from the Chairman of the Board of Auditors addressed to the Secretary-General

I have the honour to transmit to you the report of the Board of Auditors on implementation of its recommendations relating to the biennium 1998-1999, submitted in accordance with paragraph 5 of General Assembly resolution 52/212 B of 31 March 1998 (see appendix).

(*Signed*) Guillermo N. **Carague**
Chairman, Philippine Commission of Audit
and Chairman
United Nations Board of Auditors

Appendix

Report of the Board of Auditors on implementation of its recommendations

I. Introduction

1. The General Assembly in its resolution 52/212 B of 31 March 1998, accepted the recommendations of the Board of Auditors for improving implementation of its recommendations approved by the General Assembly, subject to the provisions contained in the resolution as noted in paragraph 2 below. The Board's proposals, which were transmitted to the General Assembly in a note by the Secretary-General dated 26 December 1997 (A/52/753), included the following elements:

(a) The need for specification of timetables for implementation of recommendations;

(b) Disclosure of office holders to be held accountable;

(c) Establishment of an effective mechanism to strengthen oversight in regard to the implementation of audit recommendations. Such a mechanism could be either in the form of a special committee comprising senior officials or through a focal point for audit and oversight matters.

2. In resolution 52/212 B, the General Assembly emphasized that primary managerial responsibility and accountability for the implementation of the recommendations of the Board of Auditors should remain with department heads and programme managers. The Assembly further endorsed the proposals by the Board of Auditors that the format of progress reports on implementation of recommendations should be improved to disclose the title or position of individual officers to be held accountable for implementation of the Board's recommendations (at the level of department head or programme manager, as appropriate) and explanations if recommendations are not implemented in full and on time.

3. The present summary report, updated as of 25 June 2001, which relates to recommendations made in the biennium 1998-1999, covers 15 organizations on which the Board reports on a biennial basis and includes comments by the Board based on the reports of the Secretary-General on the implementation of recommendations by the United Nations and its funds and programmes (A/56/66 and Add.1). The previous report (A/54/159), which related to the biennium 1996-1997, covered 13 organizations, since at that time the Board did not report separately on the two tribunals (International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991 and the International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994). Those activities for which reports of the Board of Auditors are already submitted annually are not included in the present summary report and are reported on, as before, in an annex to the respective report of the Board of Auditors to the General Assembly (United Nations peacekeeping operations and the voluntary funds administered by the Office of the United Nations High Commissioner for Refugees). The present summary report addresses those recommendations that are under implementation, those that were not implemented, and those that have been overtaken by events and therefore cannot be implemented. The report also includes comments of the Board on the status of implementation of audit recommendations by the United Nations Joint Staff Pension Fund, based on the report that was submitted directly to the Board.

II. General comments by the Board of Auditors

4. The Board examined the extent to which organizations had complied with the provisions of resolution 52/212 B of 31 March 1998 relating to the elements listed in paragraph 1 above as set out below.

1. The need for specification of timetables for implementation of recommendations

5. With reference to the present reporting period, only one of the 15 organizations (the United Nations Joint Staff Pension Fund) did not include timetables for the implementation of majority of recommendations. This compares with 3 out of 13 organizations that did not provide appropriate timetables in relation to the previous period. **The Board recommends that the Pension Fund comply with the requirement to include timetables for the implementation of the Board's recommendations.**

2. Disclosure of office holders to be held accountable

6. With reference to 1998-1999, only one out of 15 organizations (the International Criminal Tribunal for Rwanda) did not provide the Board information on office holders to be held accountable for the implementation of the majority of the recommendations. This compares with 6 out of 13 in respect of the biennium 1996-1997. **The Board recommends that the Tribunal comply with the requirements to identify office holders responsible for implementing recommendations.**

3. Establishment of an effective mechanism to strengthen oversight

7. In general, the organizations had continued to operate effective mechanisms to strengthen oversight in regard to the implementation of audit recommendations, for example, through special committees or by including in the terms of reference of existing committees, a requirement to monitor the implementation of the recommendations of the Board of Auditors.

III. Status of implementation of the recommendations of the Board of Auditors

8. In overall terms, the Board noted that, of the 208 recommendations made in respect of the 15 organizations covered in the present report, 130 recommendations (62 per cent) had been fully implemented, 72 (35 per cent) were under implementation, 1 (1 per cent) had not been implemented and, in the remaining 5 cases (2 per cent), the organizations had not been able to implement the recommendations as they had been overtaken by events. The position regarding the individual organizations is set out in annex I to the present report. The position compared with the biennium 1996-1997 is shown in the table below.

	1996-1997	*1998-1999*
	(percentage)	
Implemented	30	62
Under implementation	64	35
Not implemented	3	1
Overtaken by events	3	2
Total	**100**	**100**

9. The Board was pleased to note that, as shown in annex II to the present report, 12 of the 13 organizations covered in the Board's report for the biennium 1996-1997 showed an increased level of implementation for the biennium 1998-1999. The Board commends in particular six organizations (the United Nations, the United Nations University (UNU), the United Nations Children's Fund (UNICEF), the United Nations Institute for Training and Research (UNITAR), the United Nations International Drug Control Programme (UNDCP) and the United Nations Joint Staff Pension Fund) which have substantially improved their implementation rate compared with the biennium 1996-1997. The Board encourages those organizations that have shown a decreased level of implementation to increase their efforts to ensure timely implementation of recommendations. The Board was also pleased to note that those organizations reporting that they had implemented more than 50 per cent of the Board's recommendations had increased from 2 out of 13 for the biennium 1996-1997 to 13 out of 15 for 1998-1999.

A. United Nations[1]

Recommendations under implementation

10. The Board notes that action is ongoing by the United Nations in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 12 (a)**. The Administration should establish clear guidelines to determine the circumstances under which advances may be made by the Office for the Coordinator of Humanitarian Affairs from the unearmarked Disaster Relief Assistance Fund, the eligibility of recipients, the maximum level of advances and the period of repayment, action should also be taken to recover long outstanding advances.

Comment. Guidelines are expected to be produced in the near future.

(b) **Recommendation in paragraph 12 (c)**. The Administration should implement fully, as a matter of priority, a consolidated database to facilitate the preparation of consolidated financial statements and to reduce the reliance on ad hoc reports; and ensure that all adjustments made in the preparation of the financial statements are approved and supported by an adequate audit trail.

Comment. The Administration is working towards implementing the recommendation, as outlined in the second report of the Secretary-General on the implementation of the recommendations of the Board of Auditors on the accounts of the United Nations for the biennium ended 31 December 1999 (A/56/66). The Board reiterates the importance of an efficient system of consolidation of accounts that will expedite document flow, reduce the documentation, process and provide adequate audit trail.

(c) **Recommendation in paragraph 12 (d)**. The Administration should develop an archiving facility for the Integrated Management Information System (IMIS), as a matter of priority.

Comment. Development of an archiving facility is in the IMIS work plan and preliminary work has been undertaken.

(d) **Recommendation in paragraph 12 (e)**. The Administration should review all outstanding test problem reports and system enhancement requests and draw up a comprehensive plan of action to resolve the underlying issues.

Comment. An initial review has already been undertaken of 500 open items.

(e) **Recommendation in paragraph 12 (l)**. The Administration should draw up a strategy for the management of the United Nations accommodation in Geneva, which should include formal objectives that are specific and measurable.

Comment. A request for proposals is planned for 2001.

(f) **Recommendation in paragraph 12 (m)**. The Administration should establish a system of periodic claims audit at the offices of the insurance companies so that it has some reassurance that the claims are correct and representative of the actual charges for medical care.

Comment. The terms of reference are being finalized for the issuance of requests for proposal to firms of consulting claims auditors.

(g) **Recommendation in paragraph 21**. Certifying officers should ensure that funds are available before approving trust fund expenditures; budget offices should closely monitor trust funds to ensure that expenditures are within approved allotments.

Comment. The Board looks forward to the implementation of IMIS Release 3 at offices away from Headquarters to enable more effective monitoring of funds.

(h) **Recommendation in paragraph 24**. The Office of Programme Planning, Budget and Accounts should review trust funds the purposes of which have long been attained in order to identify and close those that are inactive and no longer required.

Comment. The Board recognizes that the full implementation of this recommendation requires considerable coordination between substantive offices and donors.

(i) **Recommendation in paragraph 41**. The United Nations Fund for International Partnerships (UNFIP) should enforce the requirement for implementing partners to submit quarterly utilization reports within the required 30 days after the end of the quarter.

Comment. The Board notes the importance placed by the Administration on timely quarterly utilization reports and looks forward to the completion of the UNFIP procedural manual and its implementation.

(j) **Recommendation in paragraph 49**. UNFIP should closely monitor submission of the report on the status of project accomplishments by implementing partners.

Comment. UNFIP has reminded implementing partners of the progress reporting requirements and plans to monitor compliance.

(k) **Recommendation in paragraph 53**. UNFIP should include in project reports and documents clear information on planned and actual starting dates and project duration, and modify the periodic financial utilization and progress reports to include an assessment of achievement of the project vis-à-vis targets.

Comment. Agreement with implementing partners on "starting date" of projects has already been reached and UNFIP is in the process of modifying the financial reporting mechanisms.

(l) **Recommendation in paragraph 108**. The Office of Programme Planning, Budget and Accounts, in conjunction with the IMIS project team, should promptly address the problem of high rate of rejection of inter-office vouchers to reduce or eliminate the manual encoding into the IMIS of inter-office transactions from offices away from Headquarters and to obtain the optimum benefit of automation.

Comment. The Board agrees that the implementation of the IMIS Release 3 and the enhancements to the inter-office voucher system should be able to address the rejection problem.

(m) **Recommendation in paragraph 111**. The IMIS project team should take action to improve the design of interim reporting on unpaid assessed contributions during the second year of the biennium.

Comment. The Board noted that an additional validation control would be implemented in due course.

(n) **Recommendation in paragraph 276**. The Administration should issue instructions to all departments to input planned work-months into the Integrated Monitoring and Documentation and Information System (IMDIS) to enable management to monitor performance against the planned work schedules.

Comment. The Board noted that the issue is under discussion.

Recommendation overtaken by events

(o) **Recommendation in paragraph 12 (n)**. The Administration should conduct jointly with the newsstand contractor an inventory on the stock of the United Nations newsstand at the earliest opportunity.

Comment. The Board notes the efforts of the Administration to advise the contractor of the requirement for stock inventory before the expiration of the contract on 31 December 2000, which was not responded to by the contractor; and notes the Administration's position on the absence of the United Nations direct interest in the inventory overages or shortages.

B. International Trade Centre UNCTAD/WTO[2]

Recommendations under implementation

11. The Board notes that action is ongoing by the International Trade Centre (ITC) in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 11 (a)**. ITC should ensure that the liabilities for end-of-service benefits, post-retirement benefits and annual leave are disclosed in the financial statements for the biennium 2000-2001.

Comment. The Board notes the ITC liaison with the United Nations Accounts Division on this subject and its commitment to reflecting this requirement in its financial statements for 2000-2001.

(b) **Recommendation in paragraph 11 (c)**. ITC should liaise closely with the United Nations Office at Geneva to ensure that the IMIS module required to address the Centre's specific reporting requirements is developed and implemented as soon as possible.

Comment. The Board notes the commitment of ITC to moving to the IMIS system as soon as practicable and concurs with ITC actions to ensure that the system fully complies with specific requirements prior to implementation.

(c) **Recommendation in paragraph 11 (e)**. ITC should take concerted action to ensure that the Corporate Management Information System is kept up

to date so that it can be used as an effective management tool in the biennium 2000-2001.

Comment. Detailed guidelines are planned to be issued for data maintenance.

(d) **Recommendation in paragraph 48**. To minimize the need for remedial measures in the future, ITC should undertake more extensive country-specific, risk analysis before projects begin.

Comment. The Board notes the commitment of ITC to implementation of this recommendation for future Joint Integrated Technical Assistance Programme type projects.

C. United Nations University[3]

Recommendation under implementation

12. **Recommendation in paragraph 10 (f)**. The United Nations University should adhere to the procedures for tendering as laid down in the Procurement Manual for purchases under $25,000, as well as for purchases in excess of $25,000.

Comment. The Board notes that the University has reviewed the issue and plans to discuss it with the United Nations Secretariat.

D. United Nations Development Programme[4]

Recommendations under implementation

13. The Board notes that action is ongoing by the United Nations Development Programme (UNDP) in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 10 (a)**. UNDP should ensure regular follow-up on all outstanding audit reports, and concentrate its efforts on those countries where it has the greatest levels of national execution.

Comment. The Board encourages UNDP to continue with its efforts to improve on controls ensuring accountability, particularly following up on outstanding audit reports.

(b) **Recommendation in paragraph 10 (c)**. UNDP should prioritize activities and devise measurable indicators and milestones to allow systematic monitoring of progress in projects, such as UNDP 2001.

Comment. The Board is pleased to note the efforts taken by UNDP to establish a business plan monitoring system which provides for measurable indicators and milestones and will continue to monitor developments in this regard.

(c) **Recommendation in paragraph 10 (d)**. UNDP should cost all the proposed activities and estimate the total cost of the initiative at the planning stage of future projects, such as UNDP 2001.

Comment. See comment at subparagraph (b) above.

(d) **Recommendation in paragraph 10 (e)**. UNDP should require project managers to collect and report all available costs and central programme managers should include such information in regular status reports in future projects, such as UNDP 2001.

Comment. See comment at subparagraph (b) above.

(e) **Recommendation in paragraph 10 (g)**. UNDP should require all country offices to investigate the possibilities of agreeing common service contracts with other United Nations organizations, as a method of offering potential cash savings and administrative efficiencies.

Comment. UNDP plans to work actively with the inter-agency working group on the implementation and management of common services contracts.

(f) **Recommendation in paragraph 10 (j)**. UNDP should develop a more formal system for monitoring supplier performance.

Comment. UNDP has informed the Board that it will formalize its monitoring practices to capture information on supplier performance.

(g) **Recommendation in paragraph 10 (k)**. UNDP should undertake a cost-benefit analysis to assess the savings likely to accrue from the development of a green procurement policy.

Comment. UNDP plans to undertake a cost-benefit analysis on the development of a green procurement policy.

(h) **Recommendation in paragraph 10 (l)**. UNDP should follow up the recommendations made in the 1998 report on energy use and environmental impacts with respect to the FF and DC-1 buildings.

Comment. The issues are being addressed in retrofit projects planned for both buildings.

(i) **Recommendation in paragraph 10 (m)**. UNDP should introduce improved monitoring of paper use across divisions and set a target for a reduction in paper use and set standards for printer and copier use, for example, ensuring that all machines default to double-sided printing.

Comment. The action plan has been drawn up and is in the process of being implemented.

(j) **Recommendation in paragraph 10 (q)**. Project plans should be prepared only on the basis of committed funding.

Comment. UNDP plans to monitor project budgets to ensure that financial rule 111.01 (d) is applied.

(k) **Recommendation in paragraph 10 (r)**. UNDP should ensure that all projects contain quantified and measurable performance indicators or targets, and measure the progress of a project against those criteria, and ensure that country offices carry out regular monitoring and evaluation in line with UNDP guidelines.

Comment. UNDP expects the development and promulgation of new programming instruments to address this recommendation in 2001.

(l) **Recommendation in paragraph 10 (s)**. UNDP should require the Office of Audit and Performance Review to ensure that each member of the staff receives sufficient training to ensure that the organization retains its technical competency.

Comment. The Office is in the process of developing long-term learning, training and development plans for each staff member.

(m) **Recommendation in paragraph 10 (u)**. The Office of Audit and Performance Review should be required to document the key systems and controls and keep the information on file permanently to facilitate subsequent audits.

Comment. UNDP has accepted the recommendation and is in the process of implementing it.

(n) **Recommendation in paragraph 41**. UNDP should require resident representatives to certify the accuracy of the annual country office inventory returns and monitor returns to ensure that all are received; review the headquarters inventory and ensure that it provides realistic valuations for all equipment; and intensify its effort to develop a suitable inventory control system.

Comment. UNDP has accepted the recommendation and is in the process of implementing it.

(o) **Recommendation in paragraph 42**. UNDP should complete the review of advances to Governments and write off all necessary amounts.

Comment. UNDP has accepted the recommendation and is in the process of implementing it.

(p) **Recommendation in paragraph 97**. UNDP should benchmark its performance in the time taken to let contracts, establish timetables for each element of the procurement process and monitor performance against them.

Comment. UNDP has accepted the recommendation and is in the process of implementing it.

(q) **Recommendation in paragraph 174**. The Office of Audit and Performance Review should ensure a greater coverage of the Europe and Commonwealth of Independent States region during the biennium 2000-2001, especially given the growth in number of those country offices in recent years.

Comment. UNDP has accepted the recommendation and is in the process of implementing it.

(r) **Recommendation in paragraph 177**. The Office of Audit and Performance Review should conduct formal, independent reviews to determine how effectively management is implementing the control self-assessment action plans.

Comment. The Board welcomes the initiatives taken by the Office for Audit Performance Review in assessing the implementation of the control self-

assessment action plans and will continue to monitor further developments.

(s) **Recommendation in paragraph 186**. The Office for Audit Performance Review should develop a system to properly identify the full cost of each output.

Comment. The UNDP Office for Audit Performance Review informed the Board that it has developed a concept paper to consider alternate cost models, one of which will be implemented. While the Board welcomes such initiatives, it remains concerned by UNDP comments that resources may be reduced for service delivery and encourages UNDP to manage implementation of costing module in a manner that has the minimal effect on service delivery.

Recommendations overtaken by events

(t) **Recommendation in paragraph 10 (i)**. UNDP should establish a database of potential suppliers.

Comment. UNDP has informed the Board that it may not be cost-effective for it to establish its own separate database since it makes use, where possible, of supplier rosters maintained by the United Nations.

(u) **Recommendation in paragraph 10 (n)**. UNDP should ensure that, at country offices, executing agencies provide quarterly reports on the progress of projects and take prompt corrective action when projects fall behind schedule.

Comment. UNDP has informed the Board that it may not be efficient to change the current practice of executing agencies providing annual reports on the progress of projects.

(v) **Recommendation in paragraph 79**. All country offices should complete job descriptions and competency statements for all posts and use them to develop appropriate training plans for staff.

Comment. UNDP informed the Board that phase II of the reduction exercise and restructuring of country offices will impact on the organization of the office and will require redesign of job description with competency statements and relevant training.

E. United Nations Children's Fund[5]

Recommendations under implementation

14. The Board notes that action is ongoing by UNICEF in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 12 (b)**. UNICEF should revise the mandate of the Office of Internal Audit to reflect the annual reporting to the Executive Board.

Comment. The Administration has indicated that the mandate is due to be revised in 2001.

(b) **Recommendation in paragraph 12 (d)**. UNICEF should take expeditious action to extend the database tracking system to all regional offices and headquarters divisions to enhance the capacity for monitoring internal audit recommendations.

Comment. The Administration has indicated that it is on course to roll out access by 31 December 2001.

(c) **Recommendation in paragraph 12 (e)**. The Americas and the Caribbean Regional Office should ensure that the integrated monitoring and evaluation plan is implemented in the remaining 23 country offices in order to enhance monitoring and evaluation of programmes in the region.

Comment. The Board notes that the regional workshops are scheduled to be held in July 2001 and that all countries are due to implement the Plan by 31 December 2001.

(d) **Recommendation in paragraph 19**. UNICEF should further improve its working capital management in order to attain the accepted standard and disclose separately convertible cash balances of general resources and supplementary funds in the notes to the financial statements to facilitate the determination of its liquidity position in accordance with UNICEF policy.

Comment. The Administration has indicated that it is on course for full implementation in the accounts for the biennium 2000-2001.

(e) **Recommendation in paragraph 57**. UNICEF should consider external representation from another United Nations organization on its Internal Audit Committee.

Comment. The Administration has indicated that it is awaiting the results of the quality assurance review, which is due in late 2001.

F. United Nations Relief and Works Agency for Palestine Refugees in the Near East[6]

Recommendations under implementation

15. The Board notes that action is ongoing by the United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA) in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 10 (c)**. UNRWA should strengthen its efforts to recover the outstanding tax reimbursements of $23.72 million (gross $24.58 million) and make further appeals to the two governments to accept the tax-exempt status of the Agency.

Comment. UNRWA informed the Board that its efforts to recover reimbursements of value-added tax have been unsuccessful and that it is now attempting to effect reimbursement through donors to the Member State concerned. The Board remains concerned about the material amounts outstanding and will keep this matter under review.

(b) **Recommendation in paragraph 10 (d)**. UNRWA should recover all overpayments relating to extended monthly evacuation allowances and education grants.

Comment. Out of the initial 14 cases, 9 have been fully settled, 2 are under appeal and 2 are being pursued by the Legal Office.

(c) **Recommendation in paragraph 10 (e)**. The Agency should review the various administrative instructions relating to extended monthly evacuation allowances and education grants to remove ambiguities in their interpretation and application.

Comment. UNRWA informed the Board that instructions on evacuation allowances have been reviewed and is being circulated prior to being presented for senior management approval. In addition, UNRWA believes that international personnel directive No. I/103.9/Rev.8, issued on 23 August 2000, has improved the interpretation and implementation of the education grant scheme. The Board will assess the impact of the review of the various administrative instructions in its next audits.

(d) **Recommendation in paragraph 10 (f)**. UNRWA should develop and implement a computerized asset management system in order to better manage and control its non-expendable property items.

Comment. The Board notes that UNRWA expects to complete its evaluation of computerized asset management systems on the market by January 2002, subsequent to the end of the biennium. The Board encourages UNRWA to ensure that the existing asset management systems are complete and accurate in order to ensure that non-expendable equipment is properly disclosed in the financial statements ending 31 December 2001.

(e) **Recommendation in paragraph 34**. The Agency should develop specific generic performance indicators as a basis for assessing programme performance.

Comment. UNRWA informed the Board that the process of developing key performance indicators commenced in October 2000 and is expected to be completed by January 2002. The Board is pleased to note the progress made by UNRWA and encourages it to expedite completion of the project.

(f) **Recommendation in paragraph 10 (b)**. UNRWA should recover the $24.2 million outstanding from donors and reimburse the regular budget funds.

Comment. The Board is pleased to note that UNRWA has made progress in recovering outstanding donor pledges. However, the Board remains concerned in respect of the outstanding amount of some $16.8 million and encourages UNRWA to continue with its efforts to resolve this matter.

G. United Nations Institute for Training and Research[7]

Recommendations under implementation

16. The Board notes that action is ongoing by the Institute in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 10 (a)**. UNITAR should disclose in the financial statements the value and method of valuation of non-expendable property and the amount of liability for end-of-service benefits, post-retirement benefits and annual leave.

Comment. The Board understands that the United Nations Office at Geneva and UNITAR are in the process of reconciling records of non-expendable property. It will review the disclosures at the end of the biennium to ensure conformity with United Nations accounting standards and financial rules.

(b) **Recommendation in paragraph 22**. The Institute should appraise the recoverability of the remaining deficit balances and write off any amounts that are not recoverable.

Comment. In May 2001, UNITAR proposed the write-off or collection of two of the three balances and is discussing the third amount with the United Nations Office at Geneva.

(c) **Recommendation in paragraph 28**. UNITAR should obtain from UNDP supporting documentation for the outstanding inter-office vouchers, in the absence of which the Institute should agree with UNDP how the amounts concerned should be cleared.

Comment. Through the United Nations Office at Geneva, the Institute has formally requested UNDP to write off the outstanding balance against closed projects and is expecting a positive reply.

H. United Nations Environment Programme[8]

Recommendations under implementation

17. The Board notes that action is ongoing by the United Nations Environment Programme (UNEP) in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 12 (c)**. The Administration should review all inactive projects and take steps to obtain the required documents to make possible the timely closure of all completed projects. Further, UNEP should determine causes of the factors that prevented the timely closure of the projects.

Comment. The Board notes the efforts of the Administration to effect the closure of 142 projects in 2000 and an additional 92 projects as of 15 June 2001.

(b) **Recommendation in paragraph 12 (d)**. The Administration should provide the United Nations Office at Nairobi with the information needed to maintain a central roster of consultants, which should be used as the basis for their selection.

Comment. UNEP informed the Board that the Human Resources Management Services at the United Nations Office at Nairobi has initiated action toward the establishment of a central roster of consultants, in conjunction with the various sub-rosters being maintained, in harmonization with the United Nations Centre for Human Settlements (Habitat) roster. The Board will monitor the effectiveness of the alternative sub-rosters maintained by UNEP until resources become available to fully implement the recommendation.

(c) **Recommendation in paragraph 12 (e)**. UNEP should ensure that terms of reference of consultants include performance indicators to assess or evaluate results.

Comment. A joint UNEP/Habitat/United Nations Office at Nairobi working group has already prepared the guidelines for the recruitment of consultants and is still awaiting comments from the offices concerned.

I. United Nations Population Fund[9]

Recommendation under implementation

18. The Board notes that action is ongoing by the United Nations Population Fund (UNFPA) in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 11 (f)**. UNFPA should strengthen the management and monitoring of its projects at the design phase by incorporating baseline information; qualitative and quantitative performance indicators and an explanation of how the executing agency will collect performance data in the course of projects.

Comment. UNFPA is in the process of developing programme and monitoring tools to aid country office staff in programme management. The

Board will continue to review this matter in future audits.

(b) **Recommendation in paragraph 11 (k)**. UNFPA should make every effort to recover the overpayment of up to $1.8 million from the contractors once the final value of the work done has been verified.

Comment. UNFPA is still in the process of verifying the amount of overpayment. Due process in disciplinary proceedings has been completed against all but one involved staff.

(c) **Recommendation in paragraph 15**. UNFPA should arrange for an actuarial valuation and disclose in the financial statements the value and basis of valuation for end-of-service benefits and post-retirement benefits.

Comment. UNFPA is in the process of examining the implications of data collection and plans to disclose the information in a note to the financial statements for the biennium 2000-2001.

(d) **Recommendation in paragraph 17**. UNFPA should ensure that the value of all non-expendable equipment is disclosed in the notes to the financial statements; and that it further encourages executing agencies to provide annual reports on non-expendable property held.

Comment. UNFPA informed the Board that it would review the best way for executing agencies to provide reports on non-expendable equipment. The Fund is also reviewing its own presentation of non-expendable equipment in the financial statements. The Board is of the opinion that UNFPA is accountable for non-expendable equipment and the disclosure thereof and encourages it to take steps to effectively discharge such responsibilities.

(e) **Recommendation in paragraph 33**. Given the fact that the advance for the UNFPA share of construction costs of common premises has remained outstanding for six years, UNFPA should take action to bring the matter to a conclusion.

Comment. UNFPA is engaged in active negotiations with the partners concerned.

(f) **Recommendation in paragraph 59**. UNFPA should ensure that agencies submit final project reports or suitable alternatives.

Comment. UNFPA informed the Board that it is strictly committed to enforcing the programme guidelines, which require final project reports. The Board will continue to review the matter in future audits.

(g) **Recommendation in paragraph 9 (a) of the annex**. UNFPA should show the value of contributions in kind in a note to the financial statements.

Comment. UNFPA intended to disclose the value of contributions in kind in a note to the financial statements for the 1998-1999 biennium but, due to complexities in data collecting, could not do so. The Board encourages UNFPA to disclose the information in the financial statements for the biennium 2000-2001.

J. United Nations Habitat and Human Settlements Foundation[10]

Recommendation under implementation

19. **Recommendation in paragraph 11 (d)**. The Administration should update the roster of consultants to facilitate inclusion in the computerized central roster being developed by the United Nations Office at Nairobi.

Comment. The Board notes that discussions are under way with the United Nations Office at Nairobi to make the United Nations Centre for Human Settlements (Habitat) roster more compatible with the roster used by the United Nations Office at Nairobi.

K. Fund of the United Nations International Drug Control Programme[11]

Recommendations under implementation

20. The Board notes that action is ongoing by UNDCP in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 11 (a)**. UNDCP should disclose in the notes to the financial statements the value and method of valuation of liability for end-of-service benefits, post-retirement benefits and annual leave, in compliance with United Nations accounting standards.

Comment. UNDCP has agreed to quantify its contingent liabilities for inclusion in the financial statements for the biennium 2000-2001.

(b) **Recommendation in paragraph 11 (b)**. The Programme should strengthen its efforts to encourage UNDP to secure the necessary audit reports for nationally executed projects and, where appropriate, to extend the arrangements whereby nationally executed projects are audited by local accountancy firms.

Comment. UNDCP has been liaising closely with UNDP to implement this recommendation.

(c) **Recommendation in paragraph 11 (c)**. UNDCP should follow up, in liaison with UNDP, all audit reports outstanding in respect of the bienniums 1996-1997 and 1998-1999.

Comment. UNDCP informed the Board that for the biennium 1998-1999, it has obtained audit certificates for $16.9 million (92 per cent) of the expenditures for nationally executed projects, while for 2000, as at 20 June 2001, it has obtained certificates covering $11.3 million (59 per cent) of the $19.2 million reported expenditures.

Overtaken by events

(d) **Recommendation in paragraph 11 (e)**. UNDCP should assist those Governments without national drug master plans, or their equivalent, to produce plans as soon as possible to identify and prioritize specific drug-related problems and to establish a course of action at government level to address them.

Comment. UNDCP has concluded that the six countries referred to have adequate alternative plans.

L. United Nations Office for Project Services[12]

Recommendation under implementation

21. **Recommendation in paragraph 10 (a)**. The United Nations Office for Project Services (UNOPS) should prepare a full inventory of its non-expendable equipment, both at headquarters and at its regional offices, with a view to providing an historic cost for its non-expendable equipment in the financial statements for the biennium 2000-2001.

Comment. UNOPS is in the process of preparing a full inventory of its non-expendable property.

M. International Criminal Tribunal for the Prosecution of Persons Responsible for Genocide and Other Serious Violations of International Humanitarian Law Committed in the Territory of Rwanda and Rwandan Citizens Responsible for Genocide and Other Such Violations Committed in the Territory of Neighbouring States between 1 January and 31 December 1994[13]

Recommendations under implementation

22. The Board notes that action is ongoing by the International Criminal Tribunal for Rwanda in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 11 (d)**. The Tribunal should keep relevant registration information on vendors and regularly carry out the required periodic evaluation of the performance of suppliers.

Comment. The Tribunal expects to fully implement this recommendation during the biennium 2000-2001.

(b) **Recommendation in paragraph 11 (e)**. The Tribunal should enforce the terms of the contract for travel agent services and take steps to recover all amounts due from the travel agent.

Comment. The Tribunal plans to fully implement this recommendation.

(c) **Recommendation in paragraph 39**. The Tribunal should take action to recover the appropriate cleaning and maintenance cost from the lessor and request a reduction in the rent payable.

Comment. The Tribunal is still seeking clarification on contractual matters with the service provider. The Board encourages the Tribunal to expedite finalization of outstanding matters with the contractors.

N. International Tribunal for the Prosecution of Persons Responsible for Serious Violations of International Humanitarian Law Committed in the Territory of the Former Yugoslavia since 1991[14]

23. All recommendations have been implemented.

O. United Nations Joint Staff Pension Fund[15]

Recommendations under implementation

24. The Board notes that action is ongoing by the Pension Fund in respect of the following recommendations. The Board has included comments, where appropriate.

(a) **Recommendation in paragraph 10 (b)**. The Pension Fund should upgrade or replace the Investment Control and Accounting System as a matter of urgency to ensure proper accounting for the investments and income earned.

Comment. The Pension Fund indicated that a temporary system is currently in operation and a more permanent one is being actively considered.

(b) **Recommendation in paragraph 38**. The management of the Investment Management Service should expedite action in formalizing the evaluation criteria of the performance for advisory and custody services.

Comment. The Pension Fund indicated that evaluation criteria for assessing the performance of the providers of investment advisory services have been in place for one year. The criteria with regard to assessing the Board's custodians are currently being formulated.

Recommendation not implemented

25. **Recommendation in paragraph 10 (a)**. The Pension Fund should include a penalty clause in future agreements with the Master Record Keeper to ensure timely delivery of the relevant accounting and financial reports.

Comment. The Pension Fund considers that a penalty clause for a Master Record Keeper is not consistent with normal investment industry practice and qualification of a possible penalty clause would be different and complicated since delays in submitting reports do not involve any potential monetary losses.

IV. Acknowledgement

26. The Board of Auditors wishes to express its appreciation for the cooperation and assistance extended by the Secretary-General, the executive heads of United Nations funds and programmes and the Chief Executive Officer of the United Nations Joint Staff Pension Fund, their officers and staff.

(*Signed*) Guillermo N. **Carague**
Chairman, Commission on Audit
Philippines

(*Signed*) Sir John **Bourn**
Comptroller and Auditor General
of the United Kingdom of Great Britain
and Northern Ireland

(*Signed*) Shauket A. **Fakie**
Auditor-General
Republic of South Africa

Notes

[1] *Official Records of the General Assembly, Fifty-fifth Session, Supplement No. 5* (A/55/5), vol. I.

[2] Ibid., *Supplement No. 5* (A/55/5), vol. III, chap. II.

[3] Ibid., *Supplement No. 5* (A/55/5), vol. IV, chap. II.

[4] Ibid., *Supplement No. 5A* (A/55/5/Add.1), chap. II.

[5] Ibid., *Supplement No. 5B* (A/55/5/Add.2), chap. II.

[6] Ibid., *Supplement No. 5C* (A/55/5/Add.3), chap. II.

[7] Ibid., *Supplement No. 5D* (A/55/5/Add.4), chap. II.

[8] Ibid., *Supplement No. 5F* (A/55/5/Add.6), chap. II.

[9] Ibid., *Supplement No. 5G* (A/55/5/Add.7), chap. II.

[10] Ibid., *Supplement No. 5H* (A/55/5/Add.8), chap. II.

[11] Ibid., *Supplement No. 5I* (A/55/5/Add.9), chap. II.

[12] Ibid., *Supplement No. 5J* (A/55/5/Add.10), chap. II.

[13] Ibid., *Supplement No. 5K* (A/55/5/Add.11), chap. II.

[14] Ibid., *Supplement No. 5L* (A/55/5/Add.12), chap. II.

[15] Ibid., *Supplement No. 9* (A/55/9), annex III.

Annex I

Status of implementation of recommendations of the Board of Auditors

Organization	*Implemented*		*Under implementation*		*Not implemented*		*Overtaken by events*		*Total*
United Nations	21	58%	14	39%	-	-	1	3%	36
ITC	5	56%	4	44%	-	-	-	-	9
UNU	5	83%	1	17%	-	-	-	-	6
UNDP	24	52%	19	41%	-	-	3	7%	46
UNICEF	7	58%	5	42%	-	-	-	-	12
UNRWA	5	45%	6	55%	-	-	-	-	11
UNITAR	8	73%	3	27%	-	-	-	-	11
UNEP	2	40%	3	60%	-	-	-	-	5
UNFPA	13	65%	7	35%	-	-	-	-	20
UNHHSF	3	75%	1	25%	-	-	-	-	4
UNDCP	10	71%	3	21%	-	-	1	7%	14
UNOPS	12	92%	1	8%	-	-	-	-	13
ICTY	3	100%	-	-	-	-	-	-	3
ICTR	5	63%	3	37%	-	-	-	-	8
UNJSPF	7	70%	2	20%	1	10%	-	-	10
Total	**130**	**62%**	**72**	**35%**	**1**	**1%**	**5**	**2%**	**208**

Note: Percentages may not add up to exactly 100 per cent, owing to rounding off.

Annex II

Comparative analysis of rates of implementation of the Board of Auditors recommendations for the biennium 1996-1997 and biennium 1998-1999

	Implemented		*Under implementation*		*Not implemented*		*Overtaken by events*	
Organization	*1996-1997*	*1998-1999*	*1996-1997*	*1998-1999*	*1996-1997*	*1998-1999*	*1996-1997*	*1998-1999*
United Nations	20%	58%	80%	39%	-	-	-	3%
ITC	40%	56%	40%	44%	20%	-	-	-
UNU	-	83%	67%	17%	17%	-	17%	-
UNDP	33%	52%	62%	41%	5%	-	-	7%
UNICEF	9%	58%	73%	42%	-	-	18%	-
UNRWA	23%	45%	77%	55%	-	-	-	-
UNITAR	33%	73%	67%	27%	-	-	-	-
UNEP	33%	40%	56%	60%	-	-	11%	-
UNFPA	44%	65%	56%	35%	-	-	-	-
UNHHSF	78%	75%	22%	25%	-	-	-	-
UNDCP	13%	71%	87%	21%	-	-	-	7%
UNOPS	70%	92%	30%	8%	-	-	-	-
ICTY	n.a.	100%	n.a.	-	n.a.	-	n.a.	-
ICTR	n.a.	63%	n.a.	37%	n.a.	-	n.a.	-
UNJSPF	-	70%	100%	20%	-	10%	-	-
Total	**30%**	**62%**	**64%**	**35%**	**3%**	**1%**	**3%**	**2%**

Note: Percentages may not add up to exactly 100 per cent, owing to rounding off.

United Nations A/56/133

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Item 137 of the preliminary list*
Pattern of conferences

Improved utilization of conference facilities at the United Nations Office at Nairobi

Report of the Secretary-General

Summary

In response to resolutions 54/248 and 54/249 of 23 December 1999 which placed greater emphasis on the conference services operations at Nairobi, the administration of the United Nations Office at Nairobi has been restructured. A new Division of Conference Services has been established at Nairobi effective 1 September 2000, as an organizational unit of the Department of General Assembly Affairs and Conference Services. Close cooperation within the Department towards the timely creation of a permanent interpretation service at Nairobi and further steps to coordinate the rational use of human and financial resources of the Nairobi office at the Secretariat-wide level for the benefits of the Organization have resulted in improved utilization of conference-servicing facilities at the United Nations Office at Nairobi. In resolution 55/222 of 23 December 2000, the General Assembly requested the Secretary-General to continue to report on the utilization rates of interpretation services and conference facilities at all duty stations. Pursuant to that request, the present report has been prepared, emphasizing the effect that the above-mentioned developments have had on the conference services at Nairobi and on Nairobi as a venue for United Nations conferences and meetings.

* A/56/50.

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I. Background

1. In response to General Assembly resolutions 54/248 and 54/249 of 23 December 1999, in which the Assembly placed greater emphasis on the conference-servicing operations at Nairobi, the Nairobi Administration was restructured during the biennium 2000-2001. Following the separation of conference services from the Division of Administrative Services, the Division of Conference Services was established at Nairobi, effective 1 September 2000, as an organizational unit of the Department of General Assembly Affairs and Conference Services, operationally reporting to the Under-Secretary-General for General Assembly Affairs and Conference Services. The reorganization is reflected in ST/SGB/2000/13. Within the period under review, the Department, in cooperation with the United Nations Office at Nairobi, has taken a number of steps to strengthen the capacity and increase utilization of the conference-servicing facilities at Nairobi.

2. In its resolution 55/222 of 22 December 2000 the General Assembly, noting with satisfaction that the creation of a permanent interpretation service at Nairobi offered great potential for Nairobi as a venue for the United Nations conferences and meetings, took note with appreciation of the efforts made by the United Nations Office at Nairobi to attract more meetings to its facilities. To facilitate further progress in that direction, the General Assembly by the same resolution requested the Secretary-General to revise ST/AI/342 on the guidelines for the host Government agreements falling under resolution 40/243, and to take into account the new administrative arrangements with respect to the United Nations Office at Nairobi. As a result of the subsequent consultations between the Under-Secretary-General for General Assembly Affairs and Conference Services and the Director-General of the United Nations Office at Nairobi, the conference-servicing facility of Nairobi is on a good track to becoming organizationally, functionally and budgetarily an integral part of a global system of conference services covering units in all the offices of the Organization.

3. With the successful creation of a permanent interpretation service at Nairobi as of January 2001, in compliance with resolution 54/248 B, the availability of this important facility has already had positive effect on the meetings activities of the United Nations Office at Nairobi. A more pronounced multiplier effect is likely by the end of the current biennium and beyond.

II. Overview

4. The table below reflects the status of implementation of the programme budget for conference services at Nairobi in 2000, the first year of the current biennium. The statistics for the four categories of meetings are close to the planned annual indicator. It should be pointed out that, while the newly created interpretation team at Nairobi, operational as of January 2001, could not have had an effect on meetings statistics for 2000, the trend for 2001 is encouraging. On the other hand, the area of non-calendar meetings shows a dramatic increase, beyond the total planned for the biennium, thanks to the promotional efforts of the United Nations Office at Nairobi among the United Nations agencies and the non-governmental organizations in Nairobi. Annexes I to IV contain detailed listings of the four categories of meetings held in 2000 and in the first six months of 2001. The areas of translation and reproduction also demonstrate good compliance with the goals for the biennium.

The table indicates that the goals set for the biennium, though ambitious, are realistic.

Table
Implementation of the programme budget for 2000-2001: significant workload indicators

Indicator	*Biennium total 2000-2001 (estimated)*	*2000 (actual)*	*Percentage of estimated total for the biennium*
Intergovernmental meetings with interpretation	577	242	41.9
Meetings without interpretation	978	560	57.3
Non-calendar meetings	65	72	110.8
Multilingual meetings with remote translation held outside Nairobi	200	122	61.0
Documents edited and translated into six languages (thousands of words)	20 150	9 892	49.1
Outsourced translation (thousands of words)	4 356	2 536	58.2
Output of printing shop (millions of pages)	115	60	52.2

5. Among the salient features, it is worth mentioning the final negotiating session on the biosafety protocol, held in Montreal in January 2000, and the final negotiating session on the convention on persistent organic pollutants, held in Johannesburg in December 2000, and the diplomatic conference in Stockholm on the latter instrument in May 2001, serviced by the Nairobi team. Among the most significant events is the April 2001 session of the Administrative Committee on Coordination that has greatly benefited from the effective support of the United Nations African office. Three weeks in February 2001 were devoted to the twenty-first session of the Governing Council of the United Nations Environment Programme (UNEP), the eighteenth session of the Commission on Human Settlements and the second session of the Preparatory Committee for the special session of the General Assembly for an overall review and appraisal of the implementation of the outcome of the United Nations Conference on Human Settlements (Habitat II). They were the first events that benefited from the presence of the in-house team of interpreters in Nairobi, with reduced expenditures as compared with past practice.

III. New developments

6. The creation of the permanent interpretation service in Nairobi has already had an immediate positive effect on the work of the intersessional working bodies of UNEP and the United Nations Centre for Human Settlements (Habitat), the committees of permanent representatives, who since May 2001 have had access to multilingual interpretation. Until the respective decisions of the February sessions of the Governing Council of UNEP and the Commission on Human Settlements are officially approved by the General Assembly, the sessions of the two working bodies are provided with interpretation on as-available basis. Within the months of May and June 2001, all 10 meetings of those working bodies requested and were provided with interpretation (see annex V).

7. At the request of the Department of General Assembly Affairs and Conference Services, the Nairobi team of Chinese interpreters has been dispatched on loan to the United Nations Office at Geneva for the meeting of the Preparatory Committee (July-August) for the World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance, to be held in Durban, South Africa. A larger group will participate in the servicing of the Conference itself (August-September).

8. Further avenues for the rational use of shared resources of the Department, inter alia in interpretation, were discussed at the second coordination meeting of conference services managers, held on 2 and 3 July 2001, and the results will be reported in due course.

IV. Conclusions

9. The creation of the permanent interpretation team at Nairobi has already had an invigorating effect on the activities of UNEP and its affiliated conventions, and on Habitat, in the form of more productive intergovernmental consultations. The number of multilingual meetings to be held in Nairobi and with the Nairobi team's participation elsewhere in 2001 and 2002 is increasing. The calendar of conferences for February 2001 demonstrates the cost-saving effect of the team in Nairobi for the regular budget in terms of temporary assistance. The Nairobi team becomes a regular feature at United Nations conferences in Africa and elsewhere, with its political and cost-efficiency effects.

10. The creation of the Division of Conference Services and its inclusion in the Department of General Assembly Affairs and Conference Services is another logical and welcome step towards wider geographical coverage of the activities of the Organization and more rational use of the human and financial resources of the Secretariat. Future reports in this series will concentrate on further positive results of the above initiatives for the Organization.

Annex I

A. Major meetings with interpretation serviced in Nairobi

January to December 2000

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/ROA	African Ministerial Conference on the Environment on Forests	E,F — 24-27 January
UNEP/ROA	African Regional Consultations on the World Energy Assessment	E,F — 25 and 26 January
UNEP/ROA	Expert Group Meeting on the Preparation of the eighth AMCEN session	E,F — 28 and 29 February
UNEP/DEIAEW	GEO Training in Eastern Africa	E,F — 13-17 March
UNEP/DEPI	Thematic Workshop on Abatement of Greenhouse Gas Emissions	E,F — 27 and 28 March
UNEP/Climate Change	Global Solar and Wind Assessment Africa Regional Meeting	E,F — 29 and 30 March
UNEP/ROA	African Regional Meeting on Disaster Prevention, Preparedness and Response	E,F — 3-7 April
CITES	African Elephant Range states	E,F — 6 and 7 April
CITES	Eleventh Conference of the Parties to CITES	E,F,S — 10-20 April
UNEP/CBD	Advanced Preparatory Meeting of the Conference of the Parties to the Biological Diversity Convention	E,F — 11 and 12 May
UNEP/CBD	Convention on Biological Diversity and IUCN meeting on Sharing the Benefits from Biodiversity, Session of the Global Biodiversity Forum	E,F — 12-14 May
UNEP/CBD	Bureaux of the Conference of the Parties to the Convention on Biological Diversity and the Subsidiary Body on Scientific, Technical and Technological Advice (SBSTTA)	E — 14 May
UNEP/CBD	Fifth Conference of the Parties to the Biological Diversity Convention	A,C,E,F,R,S — 15-26 May
UNEP/DEIAEW	GEO-3 Start-up Meeting — Africa Region	E,F — 31 May-2 June

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/GEF	Assessing National Needs of Persistent Toxic Substances — National Experts Meeting	E,F — 31 July-3 August
UNEP/Regional Office for Africa (UNEP/ROA)	GEF/PDFB Regional GEF Workshop for Assessing Management Needs of Persistent Toxic Substances	E,F — 31 July-4 August
UNEP/DEIAEW	Fifteenth Meeting of the International Advisory Committee of the EIS Programme in Sub-Saharan Africa	E,F — 7-11 August
UNEP/DPDL	Climate Change Workshop	E,F — 14-18 August
UNEP/ISES	Utility for Africa Seminar on Rural Electrification in Africa (postponed)	E,F — 11-13 September
UNEP/DEIAEW	Fifteenth Meeting of the International Advisory Committee of the EIS Programme in Sub-Saharan Africa	E,F — 12-16 September
UNAIDS	Great Lakes initiative on AIDS Consultation Meetings	E,F — 23-27 October
UNEP/Division of Policy Development and Law/Legal Economics and Other Instruments (DPDL/LEO)	Meeting of Senior Government Officials in Environmental Law	E,F,S — 23-27 October
UNEP/RONA/WB/ROA	Disaster Management Workshop (postponed)	E,F — 1-3 November

B. Major meetings with interpretation planned and serviced at Nairobi

January to June 2001

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/ROA	African High-Level Regional Meeting on Energy and Sustainable Development	E,F 10-13 January
UNEP/Governing Council secretariat	Informal Consultations for heads of GC Delegation prior to GC-21	A,C,E,F,R,S 4 February
UNEP/GC secretariat	Twenty-first session of the Governing Council of UNEP	A,C,E,F,R,S 5-9 February

Organization	*Title of meeting*	*Language(s) and duration*
UNCHS, Habitat	Eighteenth session of the Commission on Human Settlements (CHS-18)	A,C,E,F,R,S 12-16 February
UNCHS, Habitat	Preparatory Committee for Istanbul +5 (second substantive session)	A,C,E,F,R,S 19-23 February
UNEP/CBD	Regional Meeting on Biosafety Clearing House and CHM	E,F 26-28 February
UNEP/GC	Extraordinary meeting of the Committee of Permanent Representatives to UNEP	E,F 12 March
UNCHS-Habitat	Committee of Permanent Representatives to UNCHS-Habitat	E,F 15 March
UNCHS-Habitat	Committee of Permanent Representatives to UNCHS-Habitat	E,F 29 March
UNEP/GC	Seventy-fourth meeting of the Committee of Permanent Representatives to UNEP	E,F 30 March
UNNY/DPDL/ROE	United Nations Administrative Committee on Coordination	E,F 2-3 April
IPCC secretariat	Seventeenth Intergovernmental Panel on Climate Change Plenary (seventeenth IPCC)	A,C,E,F,R,S 4-6 April
UNICEF/Eastern and Southern Africa Regional Office (UNICEF-ESARO)	Eastern and Southern Africa Meeting	E,F 18-19 April
UNEP/DEPI/ROA	Second annual meeting of the Network of African Environmental Lawyers	E,F 24-25 April
UNEP/GC	Working Group on International Environmental Governance of the Committee of Permanent Representatives	A,C,E,F,R,S 2 May
UNESCO	International Movement of Catholic Students PAX-ROMANA	E,F 14 May
UNEP/GC	Working Group on International Environmental Governance of Committee on Permanent Representatives to UNEP	A,C,E,F,R,S 18 May
UNCHS-Habitat	Committee of Permanent Representatives to UNCHS-Habitat	A,C,E,F,R,S 24 May
UNEP/DEWA/RC	Global Environment Outlook (GEO-3) Regional Consultations for the African Region	E,F 21-23 June

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/DEWA/RC	African Environment Outlook (AEO) Regional Consultations	E,F 25-27 June
UNEP/GC	Seventy-fifth meeting of the Committee of Permanent Representatives to UNEP	A,C,E,F,R,S 27 June

Annex II

Meetings without interpretation

January 2000-December 2000

English-only meetings = 483

January 2000-June 2001

English-only meetings = 54

Annex III

Non-calendar meetings

January-December 2000

Committee of Permanent Representatives meetings	-	12
Working group meetings	-	40
Subcommittee meetings	-	17
Extraordinary meetings	-	3
Total		**72**

January-June 2001

Committee of Permanent Representatives meetings	-	5
Working group meetings	-	31
Subcommittee meetings		4
Extraordinary meetings	-	3
Total		**43**

Annex IV

A. Major meetings serviced outside Nairobi

January to December 2000

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/CBD	Informal Consultations on the Biosafety Protocol, First Extraordinary Meeting of the Conference of the Parties to the Biological Diversity Convention to Adopt the Cartagena Protocol Fifth Meeting of the Subsidiary Body on Scientific Technical and Technological Advice (SBSTTA-5), Montreal	A,C,E,F,R,S 20 January-4 February
UNEP/Chemicals	First meeting of the Interim Chemical Review Committee under the Rotterdam Convention, Geneva	E 21-25 February
UNEP/ROA	Meeting of the African Ministerial Conference on the Environment, Abuja, Nigeria	E,F 4-7 April
UNEP/CBD	Convention on Biological Diversity Article 8J Meeting, Seville, Spain	A,C,E,F,R,S 27-31 March
UNEP/Chemicals	Fourth meeting of the Intergovernmental Negotiating Committee on persistent organic pollutants, Bonn, Germany	A,C,E,F,R,S 20-25 March
UNEP/MLF	Thirty-first session of the Executive Committee of the Multilateral Fund, Geneva, Switzerland	A,C,E,F,R,S 3-7 July
UNEP/Ozone	First meeting of the Bureau of the Meeting of the Parties to the Montreal Protocol, meeting of the Implementation Committee under the Non-compliance Procedure of the Montreal Protocol and meeting of the Open-ended Working Group of the Montreal Protocol, Geneva, Switzerland	A,C,E,F,R,S 10-13 July
UNE/Division of Environmental Conventions	North East Pacific Action Plan, Panama City, Panama	E,S 5-8 September
UNEP/ROA	Second Expert Group Meeting and Ministerial Segment on the Environment, Senegal	E,F 19-21 October
UNEP/Chemicals	Seventh Meeting of the Intergovernmental Negotiating Committee for an International Legally Binding Instrument for the Application of the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, Geneva, Switzerland	A,C,E,F,R,S 30 October-3 November

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/Chemicals	Fifth session of the Intergovernmental Negotiating Committee for an International Legally Binding Instrument for Implementing International Action on Certain Persistent Organic Pollutants, Johannesburg, South Africa	A,C,E,F,R,S 4-10 December
UNEP/Multilateral Fund secretariat	Thirty-second session of the Executive Committee of the Multilateral Fund, Ouagadougou, Burkina Faso	A,C,E,F,R,S 4-8 December
UNEP/Ozone secretariat	Twelfth meeting of the Parties to the Montreal Protocol, Ouagadougou, Burkina Faso	A,C,E,F,R,S 11-14 December

B. Major meetings serviced outside Nairobi

January to June 2001

Organization	*Title of meeting*	*Language(s) duration*
UNEP/Convention on Biological Diversity secretariat (UNEP/CBD)	Sixth Subsidiary Body on Scientific, Technical and Technological Advice Meeting (SBSTTA-6), Montreal, Canada	A,C,E,F,R,S 12-16 March
UNEP/CBD	Panel of Experts on Access and Benefit-sharing, Montreal, Canada	E,S,F 19-22 March
UNEP/Chemicals	Second meeting of the Interim Chemical Review Committee to the Rotterdam Convention (2-ICRC), Rome, Italy	E Only 19-23 March
UNEP/DEC	Second session of High-Level Government Designated Expert Meeting for the Proposed Northeast Pacific Regional Seas Programme, Nicaragua	E,S 19-23 March
UNEP/Chemicals	Conference of Plenipotentiaries on the Adoption and Signing of the Stockholm Convention on Persistent Organic Pollutants, Stockholm, Sweden	A,C,E,F,R,S 21-23 May

C. Major meetings planned with interpretation to be serviced by the United Nations Office at Nairobi, outside Nairobi

July 2001-December 2001

Organization	*Title of meeting*	*Language(s) and duration*
UNEP/Chemicals	Eighth session of the Intergovernmental Negotiating Committee for an International Legally Binding Instrument for the Application of the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade (INC/PIC-8), Rome, Italy	A,C,E,F,R,S 8-12 October
UNEP/Ozone	Second meeting of the Bureau of the Twelfth Meeting of the Parties to the Montreal Protocol, Twenty-sixth Implementation Committee under the Non-Compliance of the Montreal Protocol and the Thirteenth Meeting of the Parties to the Montreal Protocol, Colombo, Sri Lanka	A,C,E,F,R,S 15-19 October
UNEP/Chemicals	Sixth meeting of the Intergovernmental Negotiating Committee for an International Legally Binding Instrument for Implementing International Action on Certain Persistent Organic Pollutants (INC/POPs-6), Geneva [to be decided]	A,C,E F,R,S November [Dates to be decided]
UNEP/Multilateral Fund	Thirty-fifth meeting of the Executive Committee to the Multilateral Fund [Venue to be decided]	C,E,F,S November [Dates to be decided]
UNEP/CBD	Seventh Subsidiary Body on Scientific, Technology and Technological Advice (7-SBSTTA), Montreal, Canada	A,C,E,F,R,S 12-16 November
UNEP/CBD	Open-ended Intersessional Meeting on the Strategic Plan, Montreal, Canada	A,C,E,F,R,S 19-21 November
UNEP/GPA	First Intergovernmental Review Meeting on the Implementation of the Global Forum of Action for the Protection of the Marine Environment from Land-based Activities, Montreal, Canada	A,C,E,F,R,S 19-23 November

D. Major meetings with interpretation to be serviced by the United Nations Office at Nairobi, in Nairobi

July 2001-December 2001

Organization	*Title of meeting*	*Language(s) and duration*
UNCHS (Habitat)	Committee of Permanent Representatives to UNCHS (Habitat), Nairobi	A,C,E,F,R,S 19 July
UNCHS (Habitat)	Committee of Permanent Representatives to UNCHS (Habitat), Nairobi	A,C,E,F,R,S 6 September
UNEP/GC Secretariat	Seventy-sixth meeting of the Committee of Permanent Representatives to UNEP, Nairobi	A,C,E,F,R,S 19 September
UNEP/CBD	Open-ended Meeting of Experts on Compliance, Nairobi	A,C,E,F,R,S 26-28 September
UNEP/CBD	Second meeting of the Intergovernmental Committee on the Cartagena Protocol on Biosafety (ICCP-2), Nairobi	A,C,E,F,R,S 1-5 October
UNCHS (Habitat)	International Conference on Spatial Land Information System in Support of Secure Tenure	E,F 2-5 October
UNEP/GEF	Africa GIS 2001	E,F 5-9 October
UNEP/DEPI	First Intergovernmental Meeting of Experts to Review Draft Guidelines on Compliance and Enforcement of MEAs	E,F,S 22-26 October
UNCHS (Habitat)	Committee of Permanent Representatives to UNCHS (Habitat), Nairobi	A,C,E,F,R,S
UNEP/GC Secretariat	Seventy-seventh meeting of the Committee of Permanent Representatives to UNEP, Nairobi	A,C,E,F,R,S 10 December

Annex V

Regional groups

	Interpretation services			*Conference facilities*	
	Requested	*Provided*	*Not provided*	*Requested*	*Provided*
July 2000-June 2001	10	10		152	152
July 1999-June 2000	NONE	NONE		63	63
July 1998-June 1999	NONE	NONE		108	108
Breakdown by regional group, July 2000-June 2001, Nairobi					
Group of 77 and China Group	-	-	21	21	21
European Union Coordination Group	-	-	28	28	28
East European Group	-	-	1	1	1
JUSSCANZ (Japan, United States, Canada and New Zealand)	-	-	8	8	8
Western European and Other States Group	-	-	19	19	19
European Commission	-	-	1	1	1
African Group	-	-	16	16	16
Arab Group	-	-	16	16	16
Latin American and Caribbean Group	-	-	16	16	16
Central and Eastern European Group	-	-	16	16	16
Asian Group	-	-	10	10	10

NB: During the reporting period July 1998-June 1999 and July 1999-June 2000, interpretation was not requested as it was not available.

United Nations A/56/133/Corr.1

General Assembly

Distr.: General
22 August 2001

Original: English

Fifty-sixth session
Item 136 of the provisional agenda*
Pattern of conferences

Improved utilization of conference facilities at the United Nations Office at Nairobi

Report of the Secretary-General

Corrigendum

Annex II

The second entry *should read*

January 2001-June 2001

English-only meetings = 547

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* A/56/150.

01-51787 (E) 230801

United Nations A/56/134

General Assembly

Distr.: General
3 July 2001

Original: English

Fifty-sixth session
Item 112 (b) of the preliminary list*
Operational activities for development: economic and technical cooperation among developing countries

Cooperation between the United Nations and the Southern African Development Community

Report of the Secretary-General

I. Introduction

1. In its resolution 54/227 of 22 December 1999, the General Assembly, inter alia, expressed its appreciation to the international community for the financial, technical and material support to the Southern African Development Community (SADC) and called upon Member States and organs, organizations and bodies of the United Nations system that had not yet established contact and relationships with the Community to explore the possibility of doing so. The Assembly requested the Secretary-General, in consultation with the Executive Secretary of SADC, to continue to intensify contacts aimed at promoting and harmonizing cooperation between the United Nations and the Community and to report to it at its fifty-sixth session on the implementation of the resolution.

2. Pursuant to that resolution, the Secretary-General addressed a note verbale dated 19 April 2001 to the Governments of the States Members of the United Nations requesting information on specific measures undertaken in implementation of the resolution. He also dispatched letters dated 19 April 2001 to the relevant organizations and bodies of the United Nations requesting them to submit their contributions for the preparation of his report.

3. The present report is based on the information received from Member States and United Nations organizations and bodies as at 15 June 2001. Any further replies received will be incorporated in an addendum to the report.

II. Cooperation between the United Nations and the Southern African Development Community

A. Action taken by Member States

1. Australia

4. During the current reporting period, Australian development assistance was particularly focused on projects in South Africa and Mozambique, as well as in other SADC countries. During 2001, Australian assistance to African countries will total about $A 38 million, of which about $A 34 million will go to SADC countries. Types of aid include educational scholarships, capacity-building projects and assistance in the sectors of water and sanitation, food security and HIV/AIDS. Arrangements are being finalized for the

* A/56/50.

01-44030 (E) 310701

Southern African Newcastle Disease Project for poultry protection, to be implemented in Malawi, Mozambique and the United Republic of Tanzania over a three-year period at a cost of $A 5 million.

2. Canada

5. Canada's development assistance to the SADC region is directed at supporting coherent national development strategies aimed at poverty reduction, democratic development, gender equality, HIV/AIDS and mine action.

6. In the area of good governance, Canada supports projects aimed at enhancing human rights and democratization, electoral assistance and the development of civil society. In Malawi, it is assisting in developing capacity in the national budgetary process and improvement in the investment climate. In Zambia, support is being provided to the Central Statistics Office through a long-term census adviser and the provision of census equipment. In Zimbabwe, a project to increase the capacity of the Legal Resources Foundation in legal services delivery, public advocacy and human rights education is ongoing. Another project is aimed at increasing the technical and institutional capacity of the Judicial College in the areas of land reform, role of the police and the media, race relations, gender equality and legal issues related to the HIV/AIDS pandemic. In South Africa, policy support and senior public service training in macroeconomics, education and public administration is being implemented through linkage mechanisms between six Canadian and six South African provinces. Short-term exchanges of personnel and training for the establishment of legal precedents under the Charter of Rights and training in constitutional litigation as well as capacity-building in the judiciary and court systems is under way through a linkage project between the justice departments of the two countries. Approximately Can$ 47.2 million has been allocated for these projects for the period from 1996 to 2006.

7. Canada's official development assistance to the SADC region promotes women's participation in political, economic and social decision-making through the inclusion of mandatory gender analysis for all project planning and the implementation of bilateral gender equality projects aimed at strengthening the capacity of government and civil society to mainstream gender equality in their policies and programmes. Projects aimed at increasing women's access to primary education and for agricultural training are being implemented in Malawi, Zambia and Zimbabwe, for which some Can$ 13 million has been allocated for the period from 1996 to 2006.

8. Under the Southern Africa AIDS Training Programme Phase II project in Malawi, Mozambique, the United Republic of Tanzania, Zambia and Zimbabwe, community-based organizations are being assisted in HIV prevention, community-based AIDS mitigation and related human rights advocacy. Additional projects are being implemented in Malawi, South Africa, Zambia and Zimbabwe, for which a total of almost Can$ 53 million has been mandated.

9. Canada is the leading donor supporting Mozambique's mine action programme and is co-chair with the Government of the De-mining Task Force. It has contributed almost Can$ 10.46 million towards a national level impact survey, the production of digitized maps, providing mine action specialists and building the capacity of the country's database on this problem.

3. European Union

10. The fourth SADC/European Union (EU) Ministerial Conference, held in Gaborone on 29 and 30 November 2000, reviewed ongoing cooperation between the two sides and discussed future priorities, including support for democratic institutions and the promotion of human rights through: logistical and technical assistance for electoral processes in SADC countries; cooperation to combat crime; drug trafficking and the illegal trade of small arms; support for regional integration; technical assistance for the establishment of an SADC free trade zone; and support and assistance to small and medium enterprises.

11. The Conference welcomed the signing of the new African, Caribbean and Pacific Group of States/ European Community Agreement in Cotonou, in June 2000, which will support regional integration, as well as the decision to allocate 1 billion euros from the European Development Fund for debt relief within the framework of the enhanced Heavily Indebted Poor Countries (HIPC) Debt Initiative. The Conference also welcomed the recent decision by the European Commission to finance the SADC-European Union programme on HIV/AIDS.

12. The SADC African Regional Action Programme against illicit trafficking in conventional arms and the

European Union-SADC Joint Working Group on Small Arms, endorsed by the Vienna ministerial meeting, were set up in 1998 to identify relevant projects. At the European Union-SADC Working Group meeting in April 2001, the Group's role as facilitator and provider of strategic supervision was further clarified.

13. Individual member States of the European Union and the European Commission have made funds and other forms of assistance available to the SADC and its member States. Information on those contributions is given below.

4. Austria

14. Austria's regional assistance to SADC and bilateral assistance to individual SADC member States was approximately 16.09 million euros in 1999 and 11.46 million euros in 2000.

5. Belgium

15. Belgium's regional assistance to SADC and bilateral assistance to individual member States amounted to over 53.3 million euros in 1999 and 60.58 million euros in 2000.

6. Denmark

16. Danish support during the 1998 to 2000 reporting period amounted to Danish kroner (DKr) 213 million, is expected to amount to DKr 75 million in 2001 and is targeted towards: (a) conflict management and building peacekeeping capacity; (b) democracy and human rights; and (c) building capacity of the financial sector. Denmark plans to support the restructuring process of the SADC secretariat as well.

7. Finland

17. Finnish official development assistance to SADC and its member States was approximately 43 million euros in 1999 and 44.75 million euros in 2000.

8. France

18. French technical assistance (not including humanitarian emergency help, special projects and debt management) to the SADC in 2001 was: French francs (FF) 4,258 million. Assistance to SADC member States was approximately FF 138 million.

9. Germany

19. German assistance to SADC member States amounted to 278 million deutsche mark (DM) in 1999 and almost DM 279 million in 2000. Assistance to the SADC regional projects amounted to DM 15 million in 1999 and DM 16 million in 2000.

10. Ireland

20. Ireland's assistance to SADC member States amounted to 41,129 million euros in 1999 and 55,262 million euros in 2000.

11. Italy

21. In the period between 1998 and 2001 the disbursement of official development assistance to SADC member States amounted to 147.16 million euros.

12. Netherlands

22. The Netherlands assistance to SADC member States was 186 million euros for 1999 and 286 million euros for 2000.

13. Portugal

23. In 1999, bilateral official development assistance to SADC member States amounted US$ 72.65 million, mainly to Angola (US$ 19.78 million) and Mozambique (US$ 52.65 million). In 2000, bilateral official development assistance amounted US$ 44.69 million. Again, the main beneficiaries were Angola (US$ 12.74 million) and Mozambique (US$ 31.62 million).

14. Spain

24. Spain's official development assistance to Angola, Mozambique, Namibia, South Africa and the United Republic of Tanzania amounted to 2 billion 190 million pesetas in 1999 and 3 billion 660 million pesetas in 2000. In addition, regional administrations and communities also assisted in project implementation.

15. Sweden

25. In the period between 1999 and 2000 the disbursement of the Swedish official development cooperation to SADC and SADC member States

amounted to 201.9 million euros in 1999 and 243.3 million euros in 2000.

16. United Kingdom of Great Britain and Northern Ireland

26. The United Kingdom of Great Britain and Northern Ireland extended a total of 260.5 million pounds sterling (£) in bilateral development assistance to SADC countries and £2.13 million to SADC itself during the period from 1 April 2000 to 31 March 2001. The United Kingdom also provided £2.3 million for military training in the SADC region.

Assistance by the Commission of the European Union to individual Member States of the Southern African Development Community

27. Under the most recent Regional Indicative Programme, signed in October 1996, the European Commission and the SADC secretariat agreed on the following priority areas for the allocation of 121 million euros over a period of five years: infrastructure; services and trade, and investment and finance, including an important capacity-building component within the region.

28. Since the Secretary-General's previous report of 24 August 1999 (A/54/273), the European Commission has financed a number of projects directly with the SADC secretariat, including an SADC Regional Drug Control Programme (4 million euros), a European Union-SADC Investment Promotion Programme (18,325 million euros), rehabilitation of the Mpulungu (Zambia) harbour (3 million euros), the SADC Land and Water Management Research Programme (4.85 million euros), regional capacity-building support to SADC (15,615 million euros), regional support for an expanded multisectoral response to HIV/AIDS (7,614 million euros), and support for a meteorological transition programme in SADC countries (2 million euros). A number of smaller projects have also been funded with non-governmental organizations to support initiatives on governance and other issues within the SADC region. This assistance, allocated at a regional level, has been complemented by assistance to individual SADC member States.

17. Japan

29. The Tokyo Agenda for Action, adopted at the Second Tokyo Conference on African Development, held from 19 to 21 October 1998, reaffirmed the importance Japan accords to its cooperation with SADC and its member countries. During the current reporting period, Japan contributed US$ 817,000 in financial assistance to the SADC secretariat and provided four experts as advisers to strengthen its capacity in programme planning and management. During the past year, Japan held two consultative meetings with SADC, at which it expressed its support for the Organization's reform efforts and the role it could play in promoting South-South cooperation and in Africa's development. An SADC investment seminar was held in Tokyo on 25 May 2000, in cooperation with the Southern Africa Trade Association and UNIDO, to promote Japanese private investment in SADC countries. In 1999 Japan's official development assistance to SADC countries amounted to US$ 381 million in support of regional integration, construction of roads and bridges and improvement of infrastructure.

18. Norway

30. Norway's allocation for projects implemented in cooperation with the SADC amounted to 42 million Norwegian kroner (NKr) in 2000 and NKr 45 million in 2001. Economic development management and natural resource development sectors are accorded priority, enabling regional countries to invest and enhance capacity in transport, energy and private sector development. Norway has supported a number of projects on environmental issues for which responsibility is to be transferred from SADC to nationally based units for coordination. Talks are presently under way with the SADC secretariat regarding support for its restructuring process.

31. In support of the priority placed on social sector development by the SADC countries, Norway's financial assistance is enabling the region to formalize the process, leading to a regional agreement on cooperation in training and education. Norway is supporting activities in the field of human rights and democratization through projects for developing a free and independent media and ensuring legal rights for women as well as the development of social services and increasing the human resources capacity of SADC countries. Furthermore, it has supported a project to enhance regional capacity in conflict prevention and conflict resolution.

32. Since 1995, the Norwegian Government has allocated some NKr 18 million for a joint project implemented by the Norwegian Institute for International Affairs and two South African institutes, (Institute for Strategic Studies and the African Centre for the Constructive Resolution of Disputes) on regional capacity-building in peacekeeping. The project was recently extended for another five years with an estimated budget of NKr 30 million.

19. Republic of Korea

33. During the period under review, the Republic of Korea has diversified and strengthened its relations with the SADC member States through the provision of financial, material and technical assistance.

34. The Republic of Korea contributed US$ 1,711,800 in 2000 and has allocated US$ 1,736,000 for 2001 for the SADC region, with an emphasis on providing education and training for students from SADC countries in human resources development, trade and investment promotion, agricultural development, economic and regional development, crime prevention and computer technology. The programmes also include training courses for public officials from the region. In addition, agricultural experts, medical doctors and volunteer workers from the Republic of Korea worked in partnership with community organizations to enhance economic and social development in several SADC countries. The Republic of Korea also assisted disaster relief activities in the region and has provided aid to several countries that suffered from floods in 2000.

20. Russian Federation

35. The Russian Federation has continued to take concrete efforts to strengthen its cooperation with SADC, both at the regional and bilateral levels. Since April 1999, the Russian Ambassador in Gaborone has been accredited to the SADC secretariat as well.

36. The Russian Federation is actively complying with the provisions of General Assembly resolution 54/227, aimed at promoting the peace process in Angola, which would promote the stabilization of the political, military, social, economic and humanitarian situation in that country and in the region as a whole. The Russian Federation underlines the need to strictly implement the respective United Nations Security Council resolutions on Angola, first and foremost those bearing on the UNITA sanctions regime. Being a permanent member of the Security Council and a member of the "troika" of observer States to the peace process in Angola, the Russian Federation is doing everything in its power to achieve an early settlement of the conflict in that country.

37. Similarly, the Russian position favouring the early political settlement in the Democratic Republic of the Congo on the basis of the Lusaka Agreement and relevant Security Council resolutions remains unchanged. Both at the level of the Security Council, where, with other Council members, it takes active steps in the search for an effective solution to the conflict in the Democratic Republic of the Congo, as well as in contacts with the countries of the region and other interested States, the Russian Federation stands for constructive and full-scale cooperation between the Congolese and other parties to the conflict and the United Nations Organization Mission in the Democratic Republic of the Congo (MONUC) for the effective implementation of the mandate of the Mission, the observance of the agreed plan of disengagement and in support of the peace process.

21. United States of America

38. Since 1999, the United States has continued its cooperative engagement within the SADC region. The second United States-SADC Forum was held in Maputo in May 2000, at which senior United States and SADC leaders reaffirmed their commitment to partnership on issues of mutual interest. The Forum addressed ways to support regional economic integration and expand trade and investment; counter transnational threats such as narcotics and small arms; develop a harmonized HIV/AIDS policy; strengthen SADC's ability to address regional threats; and establish a regional disaster management mechanism. In 1999 and 2000, the United States allocated US$ 3 million to carry out cooperative projects agreed to at the Forums in May 1999 and 2000. These included projects on environmental management, disaster preparedness, conflict resolution, protection of intellectual property rights, HIV/AIDS, implementation of the SADC Trade Protocol and improving the operation of land border crossing posts. In November 2000, the United States and SADC issued a joint declaration calling on States Members of the United

Nations to exercise restraint in arms sales to areas in conflict in Africa.

39. Cooperative projects related to Forum initiatives were in addition to the extensive technical assistance administered through USAID's Regional Centre for Southern Africa in Gaborone. Technical assistance to the Centre, which totalled US$ 22.4 million in 2000, focused on four main areas: (a) strengthening democracy and governance in the areas of anti-corruption, civil society and election monitoring through support to regional non-governmental organizations; (b) regional market integration, by assisting SADC in implementing its Trade Protocol; (c) strengthening transboundary natural resource management in the areas of water and wildlife; (d) fostering expanded commercial markets for agricultural products and technologies; and (e) assisting regional policy makers in identifying a regional policy research agenda and assisting institutions in conducting research and analysis for that agenda. The United States also carries out extensive bilateral development assistance programmes with individual SADC member States.

B. Action taken by the United Nations system

1. Department for Disarmament Affairs

40. Over the last year, and in the context of the preparations for the United Nations Conference on the Illicit Trade in Small Arms and Light Weapons in All Its Aspects, held at Headquarters from 9 to 20 July 2001, the Department for Disarmament Affairs has consulted with SADC, with a view to establishing an appropriate framework of cooperation between the two organizations in disarmament-related issues. Such cooperation will take into account the outcome and recommendations of the Conference and will cover the following areas: the establishment of regional transparency mechanisms with respect to small arms and light weapons holdings and transfers, including databases for information sharing; the social reintegration of ex-combatants and the implementation of weapons collection projects; the provision of specialized disarmament training to government officials in the region; and assistance in the mobilization of financial and technical resources to implement the above activities.

2. Department of Economic and Social Affairs

41. Under its technical cooperation programme, the Department of Economic and Social Affairs supports field projects in South Africa, Namibia, Lesotho and Botswana. The Department is currently implementing a project on a research network for development policy analysis to provide policy makers in several SADC countries with key statistical indicators, forecasts and policy analysis on economic trends and developments. The University of Pretoria carries out the centralized training and coordination of the project aimed at enhancing the econometric modelling skills of participants.

42. Cooperation activities in the areas of population and housing census and demographic surveys have included workshops on census management, mapping and data processing. A census managers meeting was organized by the Department of Economic and Social Affairs in Pretoria from 19 to 23 March 2001 to review and evaluate census activities in the SADC region.

43. In cooperation with the World Health Organization (WHO) and the Joint and Co-sponsored United Nations Programme on HIV/AIDS (UNAIDS), the Department of Economic and Social Affairs organized an expert group meeting on the HIV/AIDS pandemic and its gender implications in Windhoek from 13 to 17 November 2000, bringing together experts, government officials and NGO representatives. A report was submitted to the forty-fifth session of the Commission on the Status of Women, held from 6 to 16 March 2001 in New York, which considered the issue of women, the girl-child and HIV/AIDS as a priority theme.

3. Department of Peacekeeping Operations

44. The Department of Peacekeeping Operations continues to strengthen its cooperation with SADC in support of peace efforts in the subregion, including those aimed at enhancing African peacekeeping capacity. The Department participated in a number of subregional peacekeeping seminars and exercises, the most recent of which was the multinational political-military planning session organized in May 2001 in Dar es Salaam by the Tanzanian and French Governments, pursuant to the Renforcement des Capacités Africaines de Maintien de la Paix (RECAMP) initiative. A senior mission management seminar was held jointly with the SADC Regional

Peacekeeping Training Centre in September 2000 in Harare. The seminar, sponsored by Denmark, included informing the SADC member States about the planning and execution of United Nations peacekeeping missions, both at Headquarters and in the field.

45. The Department's Training and Evaluation Service has actively cooperated with both the Regional Peacekeeping Training Centre and individual SADC member States through its train-the-trainers team programme. The Training and Evaluation Service provides materials for the training of military and police personnel in peace support operations and has made presentations at the Higher Command Peace Support Operations Course for senior officers and civilians from SADC, conducted in South Africa by the British Military Assistance Training Team in July 2000. It also conducted pre-deployment training for the South African National Defense Force before its deployment with MONUC.

46. In July 2000, the Training and Best Practices Units of the Department conducted the ninth United Nations training assistance team seminar for the Regional Peacekeeping Training Centre, which included a comprehensive segment on disarmament, demobilization and reintegration of ex-combatants.

47. The Department of Peacekeeping Operations has held consultations to encourage member States of the SADC, including Angola, Lesotho, Madagascar, Mauritius, Seychelles, South Africa and Swaziland, to join the United Nations standby arrangement system. Discussions on further cooperation have continued, including in Botswana, from 11 to 14 June, involving the planning conference for "Exercise Tanzanite", and in Zimbabwe with the Regional Peacekeeping Training Centre on efforts to support the Centre's peacekeeping training efforts. These developments are creating wider prospects for further cooperation in the subregion with regard to peacekeeping.

4. Department of Political Affairs

48. The Executive Secretary of SADC, Prega Ramsamy, participated in the fourth high-level meeting between the United Nations and Regional Organizations, held at Headquarters on 6 and 7 February 2001. The theme of the meeting was "Cooperation for Peace-building". The discussions focused on the potential for undertaking peace-building both in a pre-conflict and a post-conflict environment, as well as ways and means to promote greater coordination and cooperation between the United Nations and regional organs. The meeting was chaired by the Secretary-General and attended by 18 delegations from regional, subregional and other international organizations, as well as by the Presidents of the General Assembly, the Security Council and the Economic and Social Council. The Secretary-General was represented by his Adviser for special assignments in Africa, Ibrahim Gambari, at the SADC Consultative Conference held in Mbabane, Swaziland, on 21 and 22 February 2000. The Department of Political Affairs continues the practice of holding consultations with the SADC delegation during the regular session of the General Assembly.

5. Department of Public Information

49. The United Nations information centres organized a range of activities to promote and publicize cooperation between the United Nations and SADC in the media, and among non-governmental organizations and educational institutions. Press conferences and seminars were organized for the launch of the Report of the United Nations Conference on Trade and Development (UNCTAD) on "Capital Flows and Growth in Africa". A photographic exhibition on peacekeeping was organized by United Nations Information Centres in Harare, and the Centre Pretoria organized media coverage for the launch of a report entitled "South Africa: Transformation for Human Development". The information centres in southern Africa, in cooperation with local officials, led a campaign against HIV/AIDS, with young people as its target audience. The campaign focused on risk awareness and greater sensitivity and understanding of AIDS patients. In its daily news programmes and current affairs magazines, United Nations Radio covered various aspects of the HIV/AIDS situation in SADC countries as well as sustainable economic development and poverty reduction.

50. The 2000 edition of the DPI reference book *Basic Facts about the United Nations* covered efforts of SADC for peace in the Democratic Republic of the Congo. Cooperation activities were also covered by the United Nations News Service on the Internet (*www.un.org/News*). The report of the Secretary-General on cooperation with SADC to the fifty-fourth session of the General Assembly (A/54/273) was summarized in a press release by the Meetings

Coverage Section, as was the adoption of Assembly resolution 54/227.

6. Food and Agriculture Organization of the United Nations

51. FAO's Special Programme for Food Security, targeted at low-income food-deficit countries, is currently operational in: Angola, Democratic Republic of the Congo, Lesotho, Malawi, Mozambique, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe. FAO is also cooperating with the SADC Vulnerability Assessment Committee and organized the SADC High-Level Consultation on Vulnerability Assessment, held in Zimbabwe from 25 to 28 September 2000. FAO also supports the Gender Biodiversity and Local Knowledge Systems, the SADC Seed Security Assistance Programme and organized the first meeting of the Southern Africa Regional Plant Protection Organization.

52. In collaboration with the United Nations Environment Programme (UNEP), FAO continues to support the Forestry Sector Technical Cooperation Unit of SADC. It is also piloting a project on integrated support for sustainable development and food security. In addition, FAO is cooperating at the regional level with the SADC Early Warning System, the SADC Food Security Unit and its Regional Communication for Development Centre. FAO organized a training seminar on propagation and domestication of indigenous fruit trees in arid areas of eastern and southern Africa in Matopos, Zimbabwe, in May 2001, and participated in a workshop on indigenous fruit trees organized by the SADC Forestry Sector Technical Unit in Windhoek, Namibia, in March 2000.

53. FAO has launched a regional programme covering SADC member States on the preparation of drought mitigation and prevention strategies and will issue a situation analysis report towards the end of 2001 covering the Limpopo basin. In addition, FAO is implementing regional projects in SADC member States in the field of agricultural research at farm level, communication for development, agriculture development, animal health and production, farm animal genetic resources and early warning of transboundary disease transmission.

54. In January 2001, FAO conducted a training workshop programme in Lusaka for all SADC member States on the Uruguay Round and on future negotiations in agriculture, aimed at providing information on World Trade Organization (WTO) issues. The SADC/Food, Agriculture and Natural Resources (FANR) Multi-donor Food Security and Rural Development hub is being assisted in developing an action programme to provide assistance in phytosanitary issues and international food safety standards. Assistance is being provided to harmonize marine fisheries policy and legal frameworks within SADC coastal States, in line with the Code of Conduct for Responsible Fisheries.

7. International Civil Aviation Organization

55. The International Civil Aviation Organization (ICAO), through its Technical Cooperation Bureau, has provided technical support to the SADC secretariat in the search for solutions to improve the safety of air transport. Based on ICAO's audits of a number of SADC States, a subregional project proposal was prepared by ICAO and submitted to SADC to remedy safety oversight deficiencies. The project has been approved, in principle, by SADC, and fund mobilization is being pursued from SADC member States as well as from financial partners, including donors and the private sector.

8. International Labour Organization

56. The activities of the International Labour Organization's (ILO) area offices include promoting understanding of the principles of the ILO declarations, ratification and implementation of the eight fundamental conventions and ensuring better working conditions, awareness of work-related accidents, injuries and diseases and worker protection in the subregion, in conformity with international labour standards. ILO projects assisted member States in the areas of industrial relations, labour administration, collective bargaining and other labour-related issues.

9. International Monetary Fund

57. The International Monetary Fund (IMF) provides technical assistance and support on a region-wide basis to supplement its policy advice to individual member States. Collaboration is effected through the SADC secretariat, the Committee of Central Bank Governors and the Finance and Investment Sector Coordinating Unit.

58. Technical assistance and training by IMF has mainly been in the fields of financial sector modernization and reform, macroeconomic statistics and fiscal issues. Discussions have also taken place about the implementation of the SADC free trade area and macroeconomic policies in the region. In the financial field, IMF resident advisers in the region have delivered technical assistance on payments issues and experts on banking regulation and supervision have provided training at workshops on international best practice. To encourage the harmonization and dissemination of good quality data between SADC countries, workshops have been organized on ways of improving financial and macroeconomic data and fiscal structures are being analysed in specialized workshops. Follow-up work has been undertaken on a study of the fiscal implications of the establishment of the SADC free-trade area. Background analysis being undertaken by IMF economists includes work on tax and trade regimes in the region and the performance of SADC economies, including ways to improve economic stability and prospects for convergence.

10. International Telecommunication Union

59. The International Telecommunication Union's (ITU) cooperation with SADC is undertaken through the Southern Africa Transport and Communication Commission (SATCC), which is a specialized branch on telecommunications activities. During the period under review, the main areas of cooperation included: assistance to SATCC in fund raising and implementing of telecommunications projects; restructuring SATCC from a technical project activity to a policy and strategy oriented one, restructuring the Southern Africa Telecommunications Administration (SATA) from an informal annual conference to an association of telecommunications operators in Southern Africa operating within the framework of SADC/SATCC protocols on transport, communications and metereology; the creation of the Telecommunications Regulators Association of Southern Africa (TRASA), in line with the SATCC protocols; provision of an ITU expert from 1990 to 1999. Technical assistance to the TRASA secretariat helped the association to start up its activities independently from SATCC.

11. United Nations Conference on Trade and Development

60. The United Nations Conference on Trade and Development's (UNCTAD) technical cooperation project on market access, trade laws and preferences seeks to increase national capacity of regional countries to negotiate regional and subregional trade arrangements with their developed country counterparts and among themselves. Since 1998, UNCTAD has been collaborating with the Industry and Trade Coordination Division (SITCD) of SADC secretariat in providing technical advice on policy issues in the context of the implementation of the SADC Protocol on Trade, aimed at establishing a free trade area in the region. UNCTAD has participated in the monthly meetings of the Trade Negotiating Forum providing technical advice on several issues, including tariff dismantling, rules of origin, dispute settlement mechanisms, anti-dumping and, more recently, trade in services. It also contributes to the substantive preparation and follow-up to the meetings, in collaboration with the SITCD secretariat based in Dar es Salaam. During 2000, UNCTAD undertook eight missions and provided technical reports, studies, lectures and advice on numerous aspects of the SADC free trade area.

61. In 2000, two regional seminars for member States of the East African Community (EAC) and SADC were held under phase III of UNCTAD's Coordinated African Programme of Assistance on Services (CAPAS). At the last subregional workshop for SADC countries, CAPAS IV was launched with the intention of assisting African countries to formulate approaches for subregional trade liberalization in services and to strengthen their negotiating capacities in the General Agreement on Trade in Services (GATS) negotiations. CAPAS IV is supporting SADC integration in services and trade negotiations at multilateral, regional and subregional levels. The second SADC Trade Negotiating Forum on services, under the umbrella of CAPAS, was held in Geneva on 30 November and 1 December 2000. SADC senior officials decided on the service sectors of particular interest for subregional integration, which included tourism, communications, transport, construction and energy-related and financial services. SADC is in the process of seeking funds for the programme.

12. United Nations Development Programme

62. Priorities areas in the United Nations Development Programme's (UNDP) technical assistance programme with the SADC secretariat and its member countries include the promotion of sustainable human development in the region and the strengthening of the community as it evolves and integrates into the global economy. One outcome has been the launching of the SADC regional human development report series. While the 1999 report focused on the relationship between governance and human development, the 2000 report examines the development challenges of HIV/AIDS and highlights the opportunities anticipated from larger regional markets and joint development and the operation of infrastructural facilities and services.

63. In cooperation with the Office of the United Nations High Commissioner for Human Rights, UNDP is providing support to the SADC regional office for human rights based in Pretoria. The office has implemented activities with regional partners, such as the Southern Africa Regional Police Chiefs Cooperation Organisation (SARPCCO), in coordinating training of police chiefs in the region in human rights and law enforcement. Technical assistance is also being provided to SADC countries in developing their governance and human rights programmes and in the establishment of national human rights institutions.

64. UNDP continues to help SADC in the development of policies and programmes to ensure food security in the region as well as the management of data and information on agricultural production and food distribution. It provided technical assistance for the creation of a functional coordinating network for the management of farm animal genetic resources. UNDP has provided assistance to the SADC Coordination Unit based in Maseru, Lesotho, for the study of water resource endowment in the region.

65. In addition to its coordinating role at the country level on HIV/AIDS, UNDP has reoriented its regional project on HIV towards capacity-building for institutions at the regional, national and subnational levels. UNDP is linking the regional project to the special initiative on HIV at headquarters and the subregional resource facilities based in South Africa and Ethiopia. Such linkages will also encourage South-South collaborative efforts, emulating the collaborative initiative on HIV/AIDS between the Governments of Brazil and Botswana on distance learning facilitated by UNDP.

66. UNDP, through its Internet Initiative for Africa, provides financial assistance and advocacy on policy regulations, business and marketing strategies to help establish and enhance collaboration between Governments, non-governmental organizations and the private sector for the creation of an enabling environment. Through a 50/50 cost-sharing arrangement, UNDP has helped the Governments of Angola, Namibia and Swaziland to establish a national Internet gateway, backbone and points of presence and to develop capacity in this area.

13. United Nations Industrial Development Organization

67. The United Nations Industrial Development Organization (UNIDO) actively cooperates with SADC in the field of standards, quality and metrology, essential to the promotion of trade of goods and services among the countries of the region as well as in international trade. UNIDO participated in the sixteenth annual meeting of the SADC Standardisation Quality, Assurance, Accreditation and Metrology Expert Group, held in Maseru, Lesotho, from 22 to 28 April 2001, at which guidelines for a possible SADC/UNIDO cooperation programme for a full fledged technical assistance programme in the field were adopted.

68. In Mozambique, UNIDO is currently implementing an integrated programme in the field of metrology in collaboration with the National Quality Institution. Several meetings and training workshops were held and funds secured for the purchase of the required metrology laboratory equipment. In a related component of the programme, primarily focused on agro-food processing, UNIDO provided training on international quality standards awareness. In addition, five food-processing enterprises are receiving direct support for technological upgrading and the introduction of effective food safety mechanisms.

14. United Nations Institute for Training and Research

69. Since March 2000, the United Nations Institute for Training and Research (UNITAR), in collaboration with the SADC's Regional Peacekeeping Training

Centre (RPTC) in Harare has implemented an annual UNITAR-RPTC Training Programme to Enhance Conflict Prevention and Peace-Building in Southern Africa.

70. The subregional Training Programme, designed for SADC member States, provides advanced training in conflict analysis, prevention and resolution strategies focusing on the challenges faced by practitioners and decision-makers in their efforts to assess and respond to conflict in the region. It offers a systematic overview of the nature and causes of conflict and provides practical exercises in negotiation and mediation using case studies based on African conflict situations.

71. The participants are selected from middle and senior level professional staff from Foreign Ministries and Defence Ministries of SADC member States, particularly those who have had experience with the SADC Organ on Politics, Defence and Security and the Organization of African Unity (OAU). Senior staff from key non-governmental organizations focusing on peacemaking in southern Africa are also included. The first programme was held from 20 to 31 March 2000 and the second from 19 February to 2 March 2001 in Harare, for which the Government of Denmark provided financial support. Fundraising is under way for the next programme to be held in March 2002. This initiative is modelled upon the ongoing UNITAR-International Peace Academy Fellowship Programme on Peacemaking and Preventive Diplomacy, which is now in its eighth year.

15. United Nations University

72. The United Nations University projects in SADC countries cover issues of peace and conflict resolution, transboundary water management and food and nutrition. A research project on children in armed conflict in Africa is in progress, in cooperation with the Institute of Security Studies in South Africa, with special emphasis on the situation of the girl combatant and the reintegration of demobilized girl combatants into civil society. Another project, in cooperation with the African Centre for the Constructive Resolution of Disputes, based in South Africa, aims at strengthening and expanding the African network for conflict and peace studies. Under the United Nations University project on governance of transboundary water resources, a workshop on southern African waters was held in September 2000 in South Africa to address the issue of collaboration in sharing the scarce water resources among riparian States. The United Nations University facilitated the discussion from an academic point of view, sharing findings obtained from similar workshops held in other parts of the world.

16. World Food Programme

73. The World Food Programme (WFP) subregional office in Mozambique provides technical and financial support to SADC countries in the area of vulnerability assessment and the building of disaster management capacity. The WFP procurement office in Harare also buys a significant amount of food in the region, thereby supporting increased food production. WFP provides food aid to some one million people in Angola and to some 70,000 Angolan refugees in the Democratic Republic of the Congo, in addition to implementing a large programme of food aid and development projects for over a million people in the Democratic Republic of the Congo itself.

17. World Health Organization

74. The World Health Organization (WHO) collaborates with SADC member States by supporting them in areas such as: communicable and non-communicable diseases, reproductive health, development of health systems and emergency and humanitarian actions.

75. HIV/AIDS has been the main priority during the past year. WHO has provided drugs for the treatment of AIDS-related opportunistic infections and kits for AIDS home-based care programmes and has supported HIV surveillance, sexually transmitted diseases control and blood safety programmes in the region. WHO supported the close collaboration between HIV/AIDS and reproductive health programmes in the region, pursuant to the recommendations of the International Conference on Population and Development.

76. In Angola, WHO assisted in the development of a national plan of action for reproductive health, conducted a series of courses and gave training for obstetric technicians and maternity nurses to reduce the high maternal mortality rate prevailing in the country, as well as carrying out its Integrated Management of Childhood Illness project. A recent polio outbreak was controlled efficiently and an eradication programme was implemented through successful national immunization campaigns.

18. World Intellectual Property Organization

77. The World Intellectual Property Organization (WIPO) continued to provide legal advisory services and technical assistance in all aspects of intellectual property and to implement human resource development programmes for the benefit of SADC countries as well as the SADC secretariat. Officials of the WIPO and SADC secretariats held preliminary discussions on a draft cooperation agreement during the SADC annual Consultative Conference in Swaziland in February 2000. The main thrust of the agreement is the upgrading of legislation related to intellectual property, awareness raising on the benefits of setting up adequate intellectual property systems and improving access to intellectual property databases. WIPO officials also held discussions with the SADC focal points for copyright (Mozambique) and industrial property (United Republic of Tanzania), and agreed on a strategy for strengthening cooperation between WIPO and the SADC region. The draft WIPO/SADC cooperation agreement is currently being discussed by SADC member States.

78. At the request of the SADC secretariat, WIPO provided technical assistance in organizing the SADC Inter-Ministerial Conference on the Place and Role of Culture in SADC Regional Integration, held from 27 to 30 November 2000, in Maputo, Mozambique. A major outcome of the Conference was a call to promote cultural activities as a way of exploiting their capacities to alleviate poverty, generate employment and contribute to economic growth. WIPO's contribution to the expert meeting that preceded the Conference was a paper on the development of markets for the music industry in the SADC region.

19. World Meteorological Organization

79. The World Meteorological Organization (WMO) has continued to collaborate with SADC countries with a view to enhancing and strengthening the capabilities of their national meteorological and hydrological services resources, assisting them in the formulation of meteorology development programmes and projects and in the mobilization of resources for their implementation.

80. Under a Belgian/WMO trust fund project, the SADC Drought Monitoring Centre based in Harare continued to provide weather and climate advisories to countries in the region. Assistance was also provided to the Southern African Transport and Communications Commission (SATCC) to develop a regional strategy for enhanced meteorological applications in the region. This assistance was provided under the framework of an Institutional Development Fund grant (from the World Bank) to SATCC channelled through the Harare Drought Monitoring Centre. Other activities carried out under the two programmes included training workshops in seasonal forecasting and the organization of Regional Climate Outlook Forums for Southern Africa, whose objective was to develop consensus seasonal rainfall forecasts for the region.

81. Within the framework of WMO's Voluntary Cooperation Programme, several SADC countries received support in terms of expert services, equipment and training. In addition, a project to improve the capacity for national climate data management, and develop drought preparedness and management strategies in three SADC countries is under way. France and the United Kingdom of Great Britain and Northern Ireland are supporting the project.

82. Implementation of the SADC-Hydrological Cycle Observing System project in southern Africa continued satisfactorily, with funding from the European Commission. Since 1996, WMO, in collaboration with the European Organization for the Exploitation of Meteorological Satellites, has been supporting a major initiative related to the replacement of satellite ground receiving stations at national meteorological and hydrological services in the region.

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Implementation of the recommendations of the Joint Inspection Unit

Report of the Secretary-General

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I. Introduction

1. In its resolution 2924 B (XXVII) of 24 November 1972, the General Assembly requested the Secretary-General to submit to it annually a report on the implementation of the recommendations of the Joint Inspection Unit and, in its resolution 44/184 of 19 December 1989, it specified that such reports should include the recommendations of the Unit and any decisions of the Assembly and other governing bodies. In its decision 50/470 of 23 December 1995 on the biennial programme of work for the Fifth Committee, the Assembly included the item on the Unit in its programme for 1997. The present report is submitted in accordance with the above-mentioned decision, and includes detailed information on the status of implementation of the recommendations contained in six reports of the Joint Inspection Unit. In order to reduce the volume of the present document, the relevant recommendations of the Unit are rendered in a succinct form.

II. Common services at United Nations Headquarters

2. The report of the Joint Inspection Unit entitled "Common Services at United Nations Headquarters" was issued on 20 November 1996 in document A/51/686. Subsequently, the comments by the Secretary-General to that report were issued in document A/51/686/Add.1 dated 5 February 1997. Observations by the Joint Inspection Unit on the comments of the Secretary-General were issued as a response in document A/51/686/Add.2 dated 7 March 1997.

3. In his report dated 14 July 1997 entitled "Renewing the United Nations: a programme for reform" (A/51/950), the Secretary-General established the strengthening of common services as one of his immediate reform initiatives. Following the Secretary-General's announcement, the Under-Secretary-General for Management entrusted the Assistant Secretary-General for Central Support Services with the task of becoming Executive Coordinator and of convening a Task Force on Common Services, consisting of various key departments of the Secretariat, together with the United Nations Development Programme (UNDP), the United Nations Children's Fund (UNICEF), the United Nations Population Fund (UNFPA), the United Nations Office for Project Services (UNOPS), the Office of the United Nations High Commissioner for Refugees (UNHCR) and the World Food Programme (WFP). The Task Force established 11 technical working groups: in legal services; archives and records management; facilities management; financial services; the Integrated Management Information System (IMIS); information technology and telecommunication; printing services; personnel services; procurement services; travel and transport; and security and safety.

4. The Secretary-General submitted a report to the General Assembly on the progress of the common services initiative (A/55/461). The report was reviewed by the Advisory Committee on Administrative and Budgetary Questions, which made specific recommendations on common services (A/55/7/Add.1, paras. 24-29). On the recommendation of the Fifth Committee, the General Assembly adopted decision 55/469 of 12 April 2001, in which it endorsed the observations and recommendations of the Advisory Committee on Administrative and Budgetary Questions and requested the Secretary-General to report to the General Assembly at its fifty-seventh session on the progress made and decisions taken on the future of the Task Force on Common Services, bearing in mind the observations and recommendations of the Advisory Committee.

5. ***Recommendation 1.*** **The General Assembly should provide policy guidance on the question of common services at Headquarters by endorsing the new framework for common services proposed in chapter IV of the report and requiring the organizations concerned to pool progressively most of their non-statutory or non-core functions under common service arrangements within a five-year period, and to include on its agenda a regular item on common services and require the Secretary-General to report every two years in the context of his programme budget proposals on progress being made in this area. The Executive Boards of the funds and programmes should similarly require their respective secretariats to report every two years on progress being made in the strengthening of common services at Headquarters and in field locations.**

6. In response to the above recommendation, the Secretary-General commented that he found merit in the ideas advanced by the Inspectors, but that for the reasons explained (in paras. 26-30 of his report) it may

have been premature to endorse the new framework for common services. The feasibility of such a framework and the time frame for its implementation would require a much more detailed, in-depth analysis of its organizational, financial and technical aspects. However, he concurred with recommendation 1, paragraph (b), concerning reporting on progress made in the area of common services.

7. Reference is made to the report of the Secretary-General to the General Assembly on common services (A/55/461) of 9 October 2000, which provides particulars on the development of the common services initiative through the creation of a Common Services Task Force, the development of a strategy paper (which is annexed to A/55/461) and the establishment of technical inter-agency working groups, chaired by the various participating organizations, to function as the implementing arms of the common services initiative. The report specifically outlines the achievements as well as the constraints encountered during the past three years of implementation.

8. The development of the present Headquarters common services initiative in the past three years is in close accordance with the proposed framework stipulated in chapter IV of the report of the Joint Inspection Unit contained in document A/51/686. Major advancements have been made particularly in the development of common services facilities (IMIS, "back-office" Treasury, Archive/Research Centre), the harmonization of regulations and rules (personnel, procurement) and joint inter-agency outsourcing contracts (travel, office supplies). There now prevails a common services "working culture", wherein frequent inter-agency referral and coordination serves as an important function of operational support services.

9. In line with the proposed Joint Inspection Unit framework, the Headquarters common services initiative has begun to expand its work globally through close working relationships with the regional commissions and the United Nations offices away from Headquarters. Common services inter-agency management committees with working groups now exist and operate in Bangkok, Geneva, Nairobi and Tokyo. The Executive Coordinator's office has established a formal working link with the Sub-Group on Common Premises and Services of the United Nations Development Group, which oversees common services developments in country offices. In addition, two of the previous Headquarters working groups have recently evolved into global networking groups under the areas of security services (Inter-Agency Security Networking Group) and facilities management (Inter-Agency Network of Facilities Managers). These global networks include key representation from the United Nations specialized agencies and the Bretton Woods institutions.

10. As indicated in the report of the Secretary-General on common services (A/55/461), the second report of the Advisory Committee on Administrative and Budgetary Questions on the review and assessment of the asbestos problem at the United Nations (A/55/7/Add.1) and the report of the Fifth Committee on the programme budget for the biennium 2000-2001 (A/55/713/Add.1), a report by the Secretary-General to the General Assembly at its fifty-seventh session will be submitted pertaining to the ongoing progress of the common services reform initiative.

11. ***Recommendation 2.*** **Further to recommendation 1 (a) above, the Secretary-General and the executive heads of the programmes and funds should adopt together the necessary measures to formulate and agree on a plan of action for the progressive implementation of common services at Headquarters, taking into account the objectives, guidelines and other proposals contained in chapter IV. The implementation plan should include the following, among other things:**

(a) List of services to be shared by all Headquarters organizations, on the one hand, and cluster of services to be shared only by the programmes and funds, on the other;

(b) Measures for upgrading the quality and efficiency of existing common services incorporating, as appropriate, the general principles set forth in chapter IV, with special emphasis on the need for cost-benefit analysis, effective user-management committees, transparent and equitable cost-sharing formulas, and other innovative modalities for providing and managing common services, including outsourcing under a common policy and contract;

(c) Annual progress milestones to guide the development of new common services in the two major clusters proposed above;

(d) Establishment of interdependent linkages between common services at Headquarters and in other duty stations, especially field locations;

(e) Further standardization of operational policies, administrative rules and procedures and technical specifications in each area of common services;

(f) Methodology for joint monitoring and evaluation of the efficiency, cost-benefits and user satisfaction with common services.

12. In his report (A/51/686/Add.1), the Secretary-General agreed with the thrust of the recommendation. The common services operating in Headquarters cover a number of services rendered to UNDP, UNFPA, UNICEF and UNOPS. Those services are reimbursed on the basis of an agreed formula, the rate of which is applied to the cost of the service in question. In 1997, the Secretariat undertook steps to formalize the legal, financial and methodological aspects of the common services at Headquarters and relating reimbursement procedures and formulas with the relevant funds and programmes. Following extensive and complex consultations over the past four years, the agreement was finalized in 2001 and approved by all the parties. The cornerstone of the agreement is General Assembly resolution 35/217 of 17 December 1980, which established basic financial principles of reimbursement for services rendered. The agreement covers all 21 specific services currently in operation in Headquarters. By mutual understanding between the parties to the agreement, its provisions are also being applied to billing for the services rendered in the bienniums 1998-1999 and 2000-2001.

13. From a legal standpoint, the agreement recognizes the principle of reciprocity and mutual responsibility of the parties to the agreement. It is based on the understanding that a common service is limited to services extended only to the secretariats of the United Nations funds and programmes, while the services provided to the Executive Boards of UNDP and UNICEF are considered a responsibility for servicing of the subsidiary organs of the Economic and Social Council.

14. In terms of methodology, the share of each organization in costs of the common services is determined by the application of workload indicators developed and agreed jointly on each individual common service with due regard for ease of application and verification. These indicators apply to the cost estimates of a specific service contained in the proposed programme budget for a given biennium for the regular budget and extrabudgetary components of those costs. In cases when not all activities or functions of the service unit are applicable to the service provided to each organization, a percentage distribution of the costs is made based on ratio of the workload involved. Finally, the methodology provides for reimbursement of direct managerial supervision costs of the organizational level immediately above that of the service unit. The appropriate share of the managerial overhead is determined on the basis of a total service unit staff to total staff supervised by posts in question.

15. The implementation of the agreement is monitored through the mechanism of periodic meetings between the Secretariat and secretariats of funds and programmes during which the methodology application, including composition of the workload statistics, as well as application of specific articles of the agreement is discussed with a view of improving its functioning.

16. The measures to consolidate further and upgrade the quality and efficiency of common services at Headquarters will be considered with due regard to observations and proposals made by the Inspectors. As indicated in the response to recommendation 1 above however, the present common services initiative and its activities are generally in line with the above-itemized Joint Inspection Unit recommendations.

17. ***Recommendation 3.*** **Considering that some common services managed by United Nations Headquarters have broad system-wide responsibilities, including particularly the fostering of integration and operational efficiencies within the Secretariat and the common system as a whole, the special role of these services should be enhanced and properly established within the Secretariat to ensure, inter alia that:**

(a) Their budgetary and staff resources are fully commensurate at all times with their common system and responsibilities;

(b) They are self-supporting to the extent possible through a more rational system of cost allocation to all users (except policy organs) who could have for this purpose common service budget lines and accounts;

(c) They have the authority and autonomy to manage their budgetary and staff resources efficiently under the primary responsibility of duly empowered user-management committees representing all user entities.

18. The Secretary-General took note of the recommendation in his comments contained in document A/51/686/Add.1. Since then, however, considerable progress was made over the last three and one-half years, as a result of the active participation and commitment of the concerned organizations. Major accomplishments are evident in procurement, travel and transport services, human resources and IMIS. The Task Force has decided to establish a two-year project for a Common Services Support Unit to be attached to the Executive Coordinator, to be jointly financed by the Secretariat (40 per cent) and UNDP, UNICEF, UNFPA and UNOPS (together 60 per cent).

III. Challenge of outsourcing for the United Nations system

19. A report of the Joint Inspection Unit entitled "The challenge of outsourcing for the United Nations system" (see A/52/338) and the comments of the Administrative Committee on Coordination thereon (A/52/338/Add.1) were submitted to the General Assembly during its fifty-second session.

20. ***Recommendation 1.*** **The legislative organs of each participating organization should request their Executive Heads to prepare, for approval at the appropriate level, before their next session, a policy statement committing their organizations to the use of the challenge of outsourcing as a means for achieving improved cost-effectiveness. This policy statement would include, inter alia:**

(a) The criteria for determining what current and planned non-core activities should be considered for outsourcing;

(b) Measures to assure that outsourcing will not compromise the international character and mandate of the organization.

21. In its report (A/53/942), the Advisory Committee on Administrative and Budgetary Questions did not support the concept of core and non-core activities as a basis for selecting candidates for outsourcing. The Advisory Committee further opined that the decision as to whether or not a function should be contracted out should be made on a case-by-case basis by the programme manager, and recognized that each organization should be free to develop an outsourcing policy appropriate to its own circumstances. The Secretary-General shares these views and the General Assembly, in its resolution 55/232 of 23 December 2000, endorsed the criteria for outsourcing proposed by the Secretariat.

22. ***Recommendation 2.*** **The Executive Heads of participating organizations should prepare, for approval at the appropriate level, administrative rules and/or procedures for implementation of the planned policy on the use of the challenge of outsourcing for their organizations that would, inter alia:**

(a) Guide implementation of the criteria approved for determining whether or not an activity or service should be outsourced;

(b) Assure that organizations maintain appropriate control and management over outsourced activities;

(c) Improve cost-accounting methodologies in order to provide a better basis for deciding on the merits of outsourcing in each instance.

23. The report of the Secretary-General (A/55/301) and General Assembly resolution 55/232 on outsourcing practices have been circulated to all departments and offices away from Headquarters with the request that the provisions contained therein be complied with. A copy of that communication was also shared with the secretariat of the Administrative Committee on Coordination.

24. ***Recommendation 3.*** **The executive heads of participating organizations should prepare, for approval at the appropriate level, changes in the structure and/or operating procedures of their secretariats to facilitate and encourage the best use of the challenge of outsourcing, including the possible designation of an official to serve as "facilitator" for this purpose.**

25. For reasons of budgetary constraints facing the organizations and competition for scarce resources, it was not considered appropriate to appoint specific outsourcing "facilitators". The Advisory Committee agreed with the views expressed by the Secretary-General and the Administrative Committee on

Coordination in document A/52/338/Add.1 in that regard. As such, the recommendation has not been implemented. While each organization should decide on the optimum use of available managerial resources, including the extent to which special attention may be given to increasing outsourcing, appropriate attention has been given in exploring possibilities for joint and coordinated action among the various United Nations organizations.

26. ***Recommendation 4.*** **The Executive Heads of participating organizations should assure that information on the use of outsourcing is comprehensive and transparent in the regular programme budget submissions and performance reports for their organizations.**

27. The Secretariat's budget clearly reflects outsourced activities. A report on outsourcing will be prepared by the Secretariat for submission to the General Assembly at its fifty-seventh session, as requested in resolution 55/232.

28. ***Recommendation 5.*** **The Executive Heads of participating organizations should make every effort to avoid a negative impact on staff affected by decisions to outsource specific activities or services and, for when negative impact is unavoidable, prepare, for approval at the appropriate level, measures to assure appropriate protection for affected staff members.**

29. Avoidance of negative impact on staff is an established goal in the Secretariat's guidelines on outsourcing as contained in the report of the Secretary-General on outsourcing practices (A/53/818).

30. ***Recommendation 6.*** **The General Assembly should request the Administrative Committee on Coordination, making use of its existing machinery (i.e. the Consultative Committee on Administrative Questions (FB)), to:**

(a) Develop a system-wide definition of outsourcing;

(b) Encourage increased sharing among United Nations system organizations of experiences in the use of outsourcing;

(c) Explore possibilities for joint and coordinated actions with regard to the use of outsourcing in order to gain the advantages of economies of scale and increased bargaining power.

31. The General Assembly has not accepted recommendation 6 (a). The Executive Coordinator for Common Services shares outsourcing experiences with organizations within the United Nations system in various forums such as the Inter-agency Procurement Working Group and the Overseas Property Management Information Exchange Network. Within the common services efforts, joint outsourcing contracts are in place in New York for travel services and the provision of office supplies.

32. ***Recommendation 7.*** **Legislative organs of participating organizations should decide to review and evaluate the implementation of the approved policy on outsourcing three years after it has been initiated and, for this purpose, request Executive Heads to submit a report on the implementation of the approved outsourcing policy which would indicate, inter alia, savings and/or benefits achieved, special problems encountered, solutions attempted and proposals for appropriate improvements.**

33. A report on outsoufcing will be prepared by the Secretariat for submission to the General Assembly at its fifty-seventh session, as requested in resolution 55/232.

IV. United Nations University: enhancing its relevance and effectiveness

34. A report of the Joint Inspection Unit, entitled "United Nations University: enhancing its relevance and effectiveness" (see A/53/392), was submitted to the General Assembly during its fifty-third session, together with the comments of the Secretary-General thereon (A/53/392/Add.1), for the purpose of seeking to enhance the relevance and improve the effectiveness of the United Nations University (UNU), which was established in 1973 by the General Assembly.

35. The Joint Inspection Unit report on UNU was one of the external evaluations undertaken in 1998 along with the 20-year evaluation of the University by a group of academic peers appointed by the UNU Council. The Office of Internal Oversight Services of the Secretariat also undertook a review of the UNU Centre in Tokyo in September 1998. The reports from those evaluations were presented to the UNU Council at its forty-fifth session in December 1998. The

Council accepted the recommendations of the JIU that were in line with the comments of the Secretary-General and the Director-General of UNESCO, as accepted by the Rector. Many of the recommendations contained in the three separate reviews were similar in content and were incorporated into the UNU Strategic Plan 2000, which was approved by the Council at its forty-sixth session in December 1999.

36. ***Recommendation 1.*** **The Rector/Council of the United Nations University should report, through the Secretary-General of the United Nations, to the General Assembly on specific actions taken to implement the directives of the General Assembly, as part of the periodic reports on the work of the University.**

37. In line with the recommendation, the Rector has, in his presentations to the Second Committee of the General Assembly and to the UNESCO Executive Board, reported on the specific actions taken to implement the recommendations emanating from their deliberations on the work of UNU. The Rector will continue to provide such reports to these bodies.

38. ***Recommendation 2.*** **The Executive Board of UNESCO may wish to encourage enhanced programmatic collaboration between UNU and UNESCO, by way of joint programming and implementation of activities of mutual interest, including more systematic sharing of programme and institutional networks, in particular within the existing framework of UNITWIN (University Twinning)/UNESCO Chairs Programme.**

39. Although this recommendation is to be considered by the UNESCO Executive Board, specific efforts have and continue to be made to strengthen the UNU-UNESCO partnership. Within the framework of UNITWIN/UNESCO Chairs Programme, six UNESCO-UNU Chairs have so far been established in areas of mutual interest and concern in several parts of the world. They include the Chair in Plant Technology at Beijing University; the Mobile Chair in University History and Future at the University of Palermo in Argentina; the Chair on Global Economics and Sustainable Development in cooperation with the Colégio do Brasil; the Chair on the Concept and Practice of Zero Emissions in Africa at the University of Namibia; the Chair in Leadership Studies at the UNU/International Leadership Academy (ILA); and the Mediterranean Network on Water Resources, Sustainable Development and Peace at the University of Nice-Sophia Antipolis. In addition, UNU agreed to participate in and is working towards the establishment of a UNESCO Chair on Desertification at the University of Khartoum.

40. Another key area of cooperation is the follow-up to the World Conference on Higher Education. As a first step, UNU worked actively with UNESCO to establish the Global University Innovation Network at the Polytechnic University of Catalonia in Spain. The Network involves UNESCO Chair holders to contribute to the implementation of the Conference recommendations. The United Nations University is also working closely with UNESCO to set up regional networks to be connected to the global network in Latin America, Africa and the Asia-Pacific region.

41. UNESCO and UNU hold meetings on occasion at the executive level to look into specific opportunities of cooperation in other areas of common concern. Such an exchange of information and views was organized most recently on the occasion of the UNU Conference of Directors of research and training centres and programmes held at UNESCO headquarters in March 2000. Areas of existing or potential cooperation include the follow-up to the World Conference on Science; the follow-up to the Second World Water Forum, which concerns, among others, UNU cooperation with UNESCO and other United Nations agencies in the publication of a new series entitled "World Water Development Report"; the joint organization of an International Conference on the Dialogue among Civilizations (Tokyo, 31 July-1 August 2001; and 2-3 August 2001 in Kyoto, Japan) to mark and contribute to the International Year. A memorandum of understanding between the two institutions is being prepared which, it is hoped, will facilitate and promote joint efforts of the two institutions in numerous fields of mutual interest and relevance.

42. ***Recommendation 3.***

(a) Without prejudice to the academic autonomy of UNU and the intellectual independence and integrity required of UNU Council members, Council composition should be reviewed to reflect more fully the diversity of its major stakeholders and partners, which include the academic community, Governments, United Nations system organizations and the private sector;

(b) At the same time, to ensure a leaner and more cost-effective Council, the possibility should be considered of reducing its current membership, coupled with the consolidation of the Council's sessional main committees into two (basically programme and budget committees), and the latter could be assisted by a small advisory group open to interested government representatives and other stakeholders of the University; boards of the UNU research and training centres and programmes (RTC/Ps) should help ensure coherent and cost-effective programme activities by the respective RTC/Ps along the general policies formulated by the Council. However, the size of the boards should be kept to a minimum and an option of biennial board meetings could be considered to further reduce institutional costs.

43. At it forty-fifth session in December 1998, the UNU Council noted that the comments made by the Secretary-General on the report indicated that it would be possible to address the concerns contained within recommendation 3 (a) within the framework of the UNU Charter and existing structures and procedures and through a better structured framework for cooperation and consultation between UNU and its various constituencies. The Secretary-General's comments indicate that the issue will be kept under continuing review and should be studied further by the management of UNU and senior colleagues in UNESCO.

44. The organization of the main committees of the UNU Council is the prerogative of the Council itself and is discussed in the Bureau, the organizing committee for the Council. The suggested advisory group connected with budget matters was not supported in the Secretary-General's comments. A separate meeting of UNU host Governments is regularly held just after the annual Council meeting and is chaired by the Chairperson of the UNU Council. The meeting serves to inform host countries of the deliberations and decisions of the Council.

45. The number of members on the Boards of the UNU research and training centres and programmes (RTC/Ps) is being kept to a minimum. However, one of the important roles of the Boards is to ensure coherent and cost-effective programme activities at each RTC/P, and this function can only be exercised when the Boards meet at least once annually. To the extent possible, RTC/P Board meetings are being organized in conjunction with academic meetings to reduce overall costs to the RTC/Ps.

46. ***Recommendation 4.*** **As part of the measures necessary to revitalize and redefine the role of the University Centre:**

(a) The University Centre, while taking the lead in strategic planning processes, should refocus its own research functions mainly on "synthesis" or interdisciplinary and global integration of research findings emanating from within and outside the University;

(b) The University Centre should exercise more effective managerial oversight over the personnel, administrative, budgetary and financial matters within the UNU system as a whole, on the basis of transparent policies;

(d) Furthermore, the University Centre, assisted by RTC/Ps, should aim to serve as a think tank for the United Nations system through closer functional cooperation with the relevant United Nations system organizations.

47. The UNU Centre has taken the lead in strategic planning processes over the past few years. Research within the UNU Centre Programmes on Peace and Governance and Environment and Sustainable Development make an important contribution to the overall coherence of the UNU academic programme. The role of the UNU Centre goes beyond a synthesis and integration role; the Centre also coordinates and carries out high-quality research in areas not covered by the research and training centres and programmes.

48. The UNU Centre has made important steps forward in developing university-wide policies related to personnel and administrative matters. Specific areas of attention during 2000 have been on personnel policy, information and communication technology, financial management, and building management. A new finance and accounting system has been installed at the Centre and at several RTC/Ps. The system is basically sound and now requires some refinement and the addition of a project management module. In October 2000, the Rector decided to merge the information technology units at the UNU Centre and the Institute of Advanced Studies (UNU/IAS) and to combine the information technology systems in Tokyo into a unified campus network. Additional attention is being given in 2001 to further strengthening the UNU's information

technology infrastructure and enhancing the effectiveness of a newly established Conference Services Unit within the UNU Centre in Tokyo. Progress is made in developing some basic elements and guidelines to be included in a UNU personnel policy since 2000 in such areas as the duration of appointments, flexitime and staff training.

49. An outline for a UNU personnel policy was submitted to the Council at its forty-seventh session in November 2000, based on which an initial draft of a UNU personnel policy will be prepared for presentation to the forty-eighth Council session in December 2001. To make such practices more transparent, manuals for personnel and administrative and financial practices are in preparation since 2000. Additional attention will be given in the medium-term period to streamlining financial and administrative practices.

50. In line with United Nations administrative rules and procedures, and for the sake of developing its own rules and policy to suit the institutional characteristics, UNU has in recent years increased its contact with the Department of Management of the United Nations Secretariat, as well as its participation in the Administrative Committee on Coordination subcommittees in charge of administrative and personnel questions.

51. *Recommendation 5.*

(a) The UNU Council and the Rector should take fuller advantage of the physical proximity of the UNU/IAS to the University Centre by ensuring enhanced collaboration and coordination between the two institutions in administrative and programme areas;

(b) The capacities of RTC/Ps in the developing countries should be built progressively to the level of those of RTC/Ps in the developed countries;

(c) Pending mobilization of additional resources, consideration should be given to establishing the Biotechnology Programme for Latin America and the Caribbean, Venezuela (UNU/BIOLAC) as a fully fledged RTC so that UNU may have at least one such centre on each continent;

(d) Subject to the above (subpara. (c)), less emphasis should be placed, for the time being, on the establishment or incorporation of new RTC/Ps in favour of an expanded and active network of associated institutions.

52. Efforts are being made to enhance cooperation and coordination between the UNU Centre and UNU/IAS in both administrative and programmatic areas. Coordination is particularly focused within the Environment and Sustainable Development programme area, and in bringing together the UNU Centre and UNU/IAS information and communication technology platform into a unified system for the Tokyo Complex, as mentioned above under recommendation 4. Specific research cooperation between the UNU Centre and UNU/IAS is focused on projects related to the "Virtual University" initiative, inter-linkages between the multilateral environmental agreements, and the Zero Emissions Forum. In addition, the Director of UNU/IAS is a member of the Senior Officers Meetings at the UNU Centre to ensure effective ongoing coordination between the UNU Centre and UNU/IAS.

53. Specific attention has been given to strengthening the financial base of the Institute for Natural Resources (UNU/INRA) in line with the decisions of the Council. An up-front transfer of US$ 1 million in the bienniums 1998-1999 and 2000-2001 has made it possible for the Director of UNU/INRA to recruit new academic staff and to begin to develop projects which could be used to mobilize additional support from external sources. Fund-raising efforts for UNU/INRA have been heightened by the Rector, followed up by the Director of UNU/INRA, through their meetings with officials of the World Bank and the United States Agency for International Development. The Rector's visit with the President of Ghana resulted in a payment of US$ 200,000 from Ghana for UNU/INRA in November 1999.

54. In the case of UNU/BIOLAC, efforts are under way to redirect the activities of the Programme towards issues of bio-safety and bio-informatics and to increase the efficiency and outreach of the Programme's existing fellowship programme. In the medium-term period, additional efforts are under way to strengthen the links of UNU/BIOLAC with existing networks in Latin America, as well as with international networks. In February 2001, the Rector met with the President of Venezuela and with the Minister of Science and Technology during an official visit to Venezuela and discussed with them the UNU/BIOLAC programme and the University's hope that Venezuela would soon complete the payment of the remaining $3 million to

the UNU Endowment Fund for UNU/BIOLAC. Discussions are continuing with the Government of Venezuela to strengthen the activities of UNU/BIOLAC and to move towards the eventual establishment of UNU/BIOLAC as an International Biotechnology Centre in Caracas. The proceedings of the forty-fifth session of the Council recall that the Council has decided not to give the status of a full-fledged RTC to UNU/BIOLAC until sufficient funding becomes available, despite the desirability of having a UNU centre on each continent.

55. At its forty-fifth session, the Council noted that the criteria for establishing new centres or programmes included the following: (a) the proposal should be of interest to UNU and important as a global issue; (b) the proposal must be completely self-financed; and (c) it should be clear from the beginning that a sizeable share of the funds will be available for activities related to developing countries. The UNU Strategic Plan 2000 gives emphasis to the establishment in the medium-term period of new strategic alliances as well as new associated institutions and it sets out the criteria for such relationships.

56. ***Recommendation 6.*** **The different agreements governing UNU cooperation with other institutions constituting the University's networks should be standardized as may be necessary to ensure consistent quality norms and approaches to network building in the most effective manner.**

57. The University agrees with the Secretary-General's comment that it would be more effective to develop a set of flexible procedures for engaging different institutions around the world in its programmes and keep under review different types of agreements in order to ensure consistent forms and approaches. The UNU Strategic Plan 2000 includes as a specific objective the standardization of the frameworks and agreements governing cooperation with other institutions.

58. ***Recommendation 7.***

(a) The existing policy framework (including in particular the "strategic plan" in preparation) for programme planning, implementation and evaluation should be developed into a detailed UNU manual of programme policies and procedures. Furthermore, in order to ensure implementation of such policies and procedures, an evaluation and monitoring system should be established at the University Centre;

(b) While the University Centre should fully exercise its responsibility for programme planning and strategic management, coordination within specific programme areas of the University could be performed as a shared endeavour by all UNU entities on the basis of their institutional specialization;

(c) UNU should also strive for working more effectively with other institutional partners within and outside the United Nations system at the country and regional levels, thereby helping to concentrate its limited resources on activities with a global and interdisciplinary dimension;

(d) With a view to enhancing interaction and collaboration in programme matters between UNU and other organizations within the United Nations system, the Secretary-General should take action to make UNU a full-fledged member of the Administrative Committee on Coordination.

59. Building on the principles and policies for programme planning, implementation and evaluation adopted by the Council at its thirty-fifth session in June 1990, a manual will be prepared, taking account of existing practices and schedules. A programme implementation monitoring system will be developed in close connection with and as a part of the new finance and accounting system that has now become operational at the University Centre and several RTC/Ps.

60. The UNU Centre has begun to exercise more directly its strategic management and coordination function. Along this line, the Conference of Directors of RTC/Ps is increasingly being focused on how the integral parts of the UNU system could better contribute to the implementation of the UNU Strategic Plan 2000 from their respective perspectives and work programmes.

61. The UNU is strengthening its collaboration with specific partners within and outside the United Nations system. However, the focus at the country or regional level will depend greatly on the nature of the problem being addressed by UNU research. While, in some cases, there is a regional focus to the University's work, many projects have cooperating scholars and scientists from different countries. This approach is in

line with the UNU's networking approach. However, the Joint Inspection Unit recommendation does not appear to take sufficient account of the benefits of such networking.

62. The Rector has participated in the discussions of the Administrative Committee on Coordination at the invitation of the Secretary-General since 1998, although the UNU has not yet been formally included as a member of the Committee.

63. ***Recommendation 8.*** **In order to enhance academic capacity-building, including training and fellowships, in particular in the developing countries, UNU should devote more attention to the development of different innovative forms of capacity-building and should, to the extent possible, reduce overall meeting costs by making more effective use of current and emerging information and communications technologies. In this context, curriculum development as pursued at present by the International Institute for Software Technology, Macau (UNU/IIST) and the International Network on Water, Environment and Health, Canada (UNU/INWEH) should be emulated progressively by other parts of UNU, in close collaboration with UNESCO.**

64. The first regular session of the UNU International Courses was successfully organized in May/June 2000 in Tokyo for 50 young persons from some 34 countries. Other initiatives are being developed within the UNU system, such as the postdoctoral fellowship programme at UNU/IAS that has just started in 2000. An external evaluation of the University's capacity-development programmes is currently under way. The first draft of the review report by an external consultant will be presented to the Bureau meeting in July 2001 and the final report to the forty-eighth session of the Council in December 2001. It is hoped that the evaluation will assist the Rectorate in identifying specific steps and approaches to strengthen UNU capacity-development programmes in areas of critical interest to developing countries. In line with the recommendations in the Joint Inspection Unit evaluation report, UNU is devoting more attention to developing innovative forms of capacity development, making optimal use of new information and communications technologies. Additional emphasis is also being placed on the development of specific course modules that can be made available more widely using "virtual university" technologies. A presentation of the UNU/IAS Virtual University initiative was made during the forty-seventh Council session in November 2000.

65. It should be noted, however, that the University's capacity-development activities remain quite limited, primarily because of the limited financial resources available. Additional efforts are being made to increase the number of UNU fellowships. The University is seeking to mobilize additional resources for a UNU Capacity-Development Fund, and the Rector has been working with a number of Governments and foundations to seek recurrent contributions to this fund to make it possible to double the number of UNU fellowships awarded by 2004.

66. ***Recommendation 9.***

(a) UNU should formulate and ensure effective implementation of a unified publications policy and programme, including uniform publications quality standards for all its institutional components;

(d) Dissemination activities should be targeted more deliberately and systematically to the United Nations system intergovernmental policy and normative processes.

67. The UNU Strategic Plan 2000 includes a specific objective for the medium-term period of developing a cohesive dissemination strategy for the UNU system as a whole. With UNU key stakeholders and dissemination targets identified also in the Strategic Plan, the development of a university-wide dissemination strategy will lead to fuller implementation of the provisions of this recommendation.

68. ***Recommendation 10.***

(a) The Secretary-General, assisted by the UNU Rector, is invited to initiate consultations, at an appropriate time in future, with contributors to the Endowment Fund with a view to securing their agreement to the central management of the income from the Fund in conformity with article II, paragraph 1, of the University Charter, and for the benefit of more coherent and integrated operations of the UNU system as a whole;

(b) Pending the above (subpara. (a)), UNU should enhance its efforts to make optimal use of the available financial resources in more innovative and transparent ways, by taking duly into account

recommendation 8. At the same time, UNU should explore with potential donors the possibility of "linked" funding, by which a fixed percentage of contributions made to a UNU entity in a developed country would be provided to another UNU entity in a developing country;

(c) The United Nations General Assembly may wish to consider the possibility of adding UNU to the list of organizations eligible for participation in the United Nations Pledging Conference, held annually.

69. In the Council's discussions on the Joint Inspection Unit recommendation on the central management of the income from the Endowment Fund, it was noted that the Secretary-General's comments on the Joint Inspection Unit report (A/53/392/Add.1), had indicated that UNU must respect the various host-country agreements and that some care was needed in the future. Accordingly, no specific action has been taken to implement this recommendation.

70. The University will seek to make optimal use of the available resources in innovative and transparent ways. This will include cost-saving measures and increased use of teleconferencing as a means to reduce meeting costs where possible, as set out in Joint Inspection Unit recommendation 8. During the medium-term period, UNU will seek to use its available resources to leverage additional resources from external sources through better project formulation and by reaching out more systematically to potential strategic partners and associated and cooperating institutions. In relation to new initiatives, the University will explore the possibility of mobilizing linked funding to support activities in developing countries in line with the Council's decision on the criteria for establishing new centres and programmes.

71. The Joint Inspection Unit recommendation for including the UNU for participation in the United Nations Pledging Conference is under the purview of the United Nations General Assembly.

72. ***Recommendation 11.*** **The Secretary-General, in keeping with his drive to achieve common premises and services for the United Nations system organizations located at the same duty stations, should enable United Nations system entities based in Tokyo to relocate, where applicable, to the University premises and to develop common services and facilities.**

73. Subsequent to the Joint Inspection Unit review, several additional United Nations organizations have moved their Tokyo offices to the UNU Building. In January 2001, the Secretary-General formally inaugurated the UNU Building as the United Nations House in Tokyo. Efforts are currently under way to increase knowledge and awareness of the work of the United Nations among the general public in Japan, particularly through improving access for the general public to the United Nations House in Tokyo.

74. The Rector has developed a proposal for modifying the first and second floors of the United Nations House to make it more accessible to the general public, and is discussing it with the Japanese authorities. In spring 2001, a "UN Gallery" exhibition was opened on the first and second floors of the UNU Building to make better use of the space for exhibits and areas for visitors to learn more about the United Nations and UNU. The Rector meets regularly with executive heads of other United Nations offices resident at the United Nations House to discuss and explore more collaboration in administrative and dissemination areas in order to seek more efficient and more cost-effective coordination of work as the United Nations team.

V. Review of the Administrative Committee on Coordination and its machinery

75. A report on the Review of the Administrative Committee on Coordination (ACC) and its machinery and the comments of the Secretary-General and the Administrative Committee on Coordination thereon were submitted to the General Assembly at its fifty-fourth session (A/54/288 and Add.1). In its resolution 54/255 of 7 April 2000, the General Assembly took note of both reports.

76. In the comments of the Secretary-General and the Administrative Committee on Coordination, it was noted that ACC had continued its review of its methods of work and structure since the major streamlining of its structures undertaken in 1993. As a result, the Committee had introduced pragmatic and incremental improvements in its own functioning and that of its subsidiary machinery, which had resulted in qualitative

improvements in its functioning and in interaction with intergovernmental bodies. Underpinning this exercise was the commitment of executive heads to ensure that the Committee became the centrepiece of a more united and effective United Nations system. Thus, even at the time of the submission of the Joint Inspection Unit report in 1998-1999, the ongoing process of review within the Committee had already addressed many of the issues raised in the report.

77. In addition, at its fall 1996 session, the Administrative Committee on Coordination had adopted a joint statement on the reform and strengthening of the United Nations system. The statement elaborated on further measures to be taken, in the context of the reform processes under way in the organizations of the system, towards a more effective, system-wide response to the changing international environment and the evolving needs of Member States. In this connection, proposals for further improvements in the mandate, working methods and subsidiary structure of the Committee, which would enable it to respond more effectively to the evolving international environment, continued to be made by individual members of the Committee and by the subsidiary bodies. In response, in October 1999, the Secretary-General launched a new review of the functioning of ACC and its machinery, which would focus on measures to enhance the relevance of the Committee's contribution to both policy development and coordinated programme development and implementation and allow executive heads to focus more on strategic issues.

78. The results of the review were adopted by ACC in 2000 and the reform measures are currently being implemented. The main recommendation, intended to free the executive heads to focus more on strategic policy issues and to enable the system to respond more effectively and in a timely manner to major international developments, was the establishment of two high-level committees on policy and programme issues and management issues, respectively. The Administrative Committee on Coordination requested that the two new committees, as their first order of business, undertake comprehensive zero-based reviews of the subsidiary machinery, with a view to ensuring greater rationalization, efficiency and cost-effectiveness. While emphasizing that organized inter-agency cooperation remained necessary, new approaches to its modalities needed to be followed. These approaches included moving away from the concept of permanent machinery to one characterized by greater flexibility and use of information and communication technology, the systematic use of task managers and the periodic review and evaluation of all coordination arrangements, with a view to reassessing need, demand and methods of work, etc.

79. As a result of this reform exercise, a number of the recommendations made by the Joint Inspection Unit, such as recommendation A.2.1 related to the Organizational Committee and its relationship with the rest of the subsidiary machinery, have been overtaken by events. The present report will indicate which of those issues are pending, but will deal in more detail with the recommendations that have been addressed through the reform exercise.

80. ***Recommendation A 1.1.*** **Executive heads are encouraged to continue to abide by the guiding principles, which have set conditions for improving the effectiveness and impact of ACC by reinforcing their unity of purpose. Within the framework of these guiding principles and in order to further enhance the coherence of United Nations system-wide plans and activities, executive heads should reinforce the leadership role of the Secretary-General as Chairman of ACC, and the lead role of other executive heads and their respective organizations as lead agencies in their specific mandates and competencies.**

81. ***Recommendation A 1.2.*** **ACC should continue to demonstrate the relevance and impact of its work by:**

(a) Addressing issues which lend themselves to system-wide scrutiny;

(b) Developing policy-oriented and forward-looking agendas which contribute to strengthen the system's capacity for forward planning the strategic thinking and responding rapidly and adequately to major international developments;

(c) Ensuring that, where appropriate, the outcomes of its meetings and those of its subsidiary bodies are more action-oriented and underline activities for which secretariats themselves are accountable for implementation, and other issues requiring guidance or action from governing bodies.

82. The aim of the most recent review and reform of the Administrative Committee on Coordination has,

inter alia, been to improve its effectiveness and impact. Thus, while the executive heads concentrate on strategic policy issues in the Committee, senior officials in the High-level Committee on Programmes are responsible to ACC for fostering system-wide cooperation and coordination, as well as knowledge and information-sharing in policy programme and operational areas. On the other hand, in the management area, the senior officials are responsible to the Committee for coherent, efficient and cost-effective management across the United Nations system of organizations.

83. ***Recommendation A 1.3.*** **Executive heads should pursue more actively their consideration of a new name for the Administrative Committee on Coordination, which would better reflect the changes in its scope and functions, and submit in due course a proposal to the Economic and Social Council in that respect.**

84. This issue and a number of alternative proposals have been debated on and off in the Administrative Committee on Coordination for a number of years, most recently, throughout the last review exercise. An agreement was reached at the 2001 spring session, to propose to the Economic and Social Council at its July 2001 session that the name be changed to United Nations System Chief Executives Board (see para. 63 of the annual overview report of the Administrative Committee on Coordination for 2000).[1]

85. ***Recommendation A 2.*** **Implementation of the new working methods approved by ACC should entail that:**

(a) Interaction among the four standing committees should be continuous and wide-ranging so that their various outputs can be used optimally by the Committee;

(b) The Organizational Committee should continue to take a comprehensive look at all issues before Administrative Committee on Coordination meetings in order to gain an overall perspective, while avoiding infringement on the authority delegated to the standing committees. In that respect, the Organizational Committee should not debate substantive matters falling within the competence of standing committees reporting directly to the Administrative Committee on Coordination;

(c) The empowerment of the Organizational Committee, the Consultative Committee on Programme and Operational Questions, and the Consultative Committee on Administrative Questions, through delegation of authority, should result in their names being reviewed to put less emphasis on their organizational or consultative functions.

86. These recommendations have been superseded by the reform exercise. The Organizational Committee has been abolished, as have the Consultative Committee on Administrative Questions and the Consultative Committee on Programme and Operational Questions.

87. ***Recommendation A 2.2.*** **Streamlining and flexibility of coordination mechanisms should remain the targets of periodic reviews of the structure of ACC machinery. ACC should therefore request the Organizational Committee and the standing committees to:**

(a) Propose ways and means for avoiding the duplication of staff training mechanisms by using the United Nations Staff College as a system-wide institution, with the involvement of participating organizations in setting its work programme through the appropriate ACC subsidiary bodies;

(b) Pursue the review of the ACC Subcommittee on Nutrition in order to ensure that all organizations concerned with its activities are in a position to lend their full support to its programmes and related funding arrangements;

(c) Examine the need to have the Inter-Agency Standing Committee become part of the ACC machinery, as the linkages between peace-building, humanitarian assistance and development become increasingly apparent.

88. As mentioned above, a central objective of the ACC reform is the review of the subsidiary structure in order to ensure greater cost-effectiveness, flexibility and responsiveness to the system's needs. With regard to the Staff College there is a separate process in the General Assembly dealing with its establishment as a system-wide institution. The Subcommittee on Nutrition is being reviewed in the context of the overall review of the subsidiary machinery. Regarding the relationship of ACC with the Inter-Agency Standing Committee, it should be noted that the intention of ACC in promoting more flexible inter-organization

cooperation mechanisms is, inter alia, to allow it to be more inclusive in its dealings with organizations and other inter-agency mechanisms not formally a part of the ACC system.

89. ***Recommendation A 2.3.*** **Secretariat support for ACC should be of concern to all its members. To enhance the contribution made by the Office for Inter-Agency Affairs, lead organizations and task managers should be encouraged by the Organizational Committee to become part of a wider "virtual secretariat" called upon more frequently to prepare background papers and draft reports.**

90. The Administrative Committee on Coordination review has resulted in the establishment of a single, ACC secretariat co-located in New York and Geneva through the consolidation of the jointly financed secretariats in Geneva (CCAQ, CCPOQ and ISCC) and the Office for Inter-Agency Affairs in New York. This "new" secretariat is expected to provide integrated support to the Committee and its high-level committees. The review has also called upon the increased use of lead agencies, task managers, electronic information and communications technology to complement secretariat capacity and promote greater involvement by system partners.

91. ***Recommendation B 1.*** **The Secretary-General, as Chairman of ACC, should submit to the Economic and Social Council, as part of the annual overview report of ACC for 1999, indications on efforts made by executive heads towards a system-wide coordinated management of information, outlining, inter alia, the status of implementation of recommendations made by the Information Systems Coordination Committee and the scope, content, estimated financial implications and expected benefits of the proposed ACC information network.**

92. The issue of the use of information technology for the improvement of the support ACC members provide to their member States, as well as in their own work, was an important part of the review process and figured prominently in discussions and decisions in both ACC and the Economic and Social Council during 2000. A number of steps have been taken in this regard, including the decision by the High-level Committee on Management to deal with system-wide information and communication technology issues, which relate to their management mandate. Coordination of information and communication technology activities can thereby be focused on priority areas having system-wide impact, in addition to capitalizing on information technology skill available throughout the system by expanding knowledge-sharing among information technology peers.

93. ***Recommendation B 2.*** **ACC should promote further efforts by all organizations to:**

(a) Indicate on their web sites, under pertinent thematic activities, their contribution to the improvement of system-wide coordination either through ACC or other cooperative arrangements. Similarly, web sites on ACC and its subsidiary bodies, to be monitored under the aegis of the Organizational Committee, should focus on major activities being carried out and the results achieved;

(b) Apply to information made available online on existing language policies for document distribution, unless otherwise directed by their governing bodies, after consideration of related financial implications.

94. As a result of the review, the ACC web site is being redesigned and will focus on major activities being carried out by member organizations in response to decisions by ACC, its high-level committees and the results achieved.

95. As noted in the previous comments, while the intent of the Joint Inspection Unit recommendation on the application of language policies for document distribution to information made available online is generally supported, this is a matter for each member organization to decide, as it is heavily influenced by the availability of resources.

96. ***Recommendation C 1.*** **The General Assembly may wish to call upon Member States to complement secretariats' inter-agency coordination efforts by better concerting and coordinating their own positions in the governing bodies of the different organizations within the system, and by exercising a more effective policy coordination at the national level within their Governments.**

97. ***Recommendation C 2.*** **Legislative bodies which have not done so yet may wish to request the executive heads to submit, under a specific agenda item on system-wide coordination, a periodic report focusing on decisions and recommendations by central coordinating bodies or by other governing**

bodies, which have implications for the organization's programme and budget, and measures taken or envisaged to ensure appropriate coordination and reinforce the unity of purpose of the system as a whole.

98. ***Recommendation C 3.*** **Legislative bodies may wish to request from executive heads a more complete and transparent submission of financial implications related to the inter-agency coordination process, along with cost-saving or efficiency measures taken.**

99. ***Recommendation C 4.*** **The General Assembly may wish to reaffirm, as a matter of principle, its own role in approving, on behalf of the system, the total budgets of all jointly financed secretariats, which should be submitted through the Advisory Committee on Administrative and Budgetary Questions, along with either the related cost-sharing formulas or expected contributions from participating organizations.**

100. As also noted in the previous comments, ACC members appreciate the intent of these recommendations, but reiterate that they are areas for action by the Governments of the Member States themselves.

VI. Evaluation of the United Nations International Research and Training Institute for the Advancement of Women

101. The Economic and Social Council, in its resolution 1988/48 of 31 July 1998, requested the Joint Inspection Unit to conduct an evaluation on the United Nations International Research and Training Institute for the Advancement of Women (INSTRAW), which should include a detailed analysis of the reasons for the financial and staffing situation of the Institute and the implications thereof at all levels of INSTRAW functioning.

102. Following the request of the Economic and Social Council, the Joint Inspection Unit conducted the evaluation of INSTRAW, and presented its report to the Council at its 1999 substantive session (A/54/156-E/1999/102). The Joint Inspection Unit evaluation raised concerns about the future of INSTRAW. It pointed out the need for the Institute to diversify its financial sources, and called for the changing of its statute to allow for alternative fund-raising strategies. The evaluation also pointed out the need for a more active approach to publicity and fund-raising, including the involvement by its Board of Trustees in such efforts. The evaluation provided the causes underlying the Institute's understaffing and its negative effect on its efficiency and productivity.

103. Some of the specific recommendations made by the Joint Inspection Unit in the evaluation were endorsed and others commented on by the United Nations Secretariat in a note by the Secretary-General presented to the Economic and Social Council at its 1999 substantive session and to the General Assembly at its fifty-fourth session (A/54/156/Add.1-E/1999/102/Add.1).

104. In the notes the Secretary-General endorsed the recommendations referring to the need for INSTRAW to continue to fulfil its mandate. The Secretary-General also supported the appeal to Member States to make financial resources available to the Institute in order to enable it to complete its ongoing programme for the biennium 1998-1999 and to realize its strategic plan and work programme for 2000-2003.

105. The present report contains an overview of the actions taken in implementation of the recommendations contained in the Joint Inspection Unit report and endorsed by the Secretary-General. It also points to the actions needed in further follow-up to the recommendations.

106. **In recommendation 1, Member States were called upon to support INSTRAW and resolve its immediate financial crisis, as well as to strengthen its financial base in the medium term, in order to give INSTRAW the opportunity to build on its achievements through the realization of its strategic plan.**

107. The Secretary-General endorsed the thrust of the recommendation and also acknowledged that the survival of INSTRAW depended on the commitment of Member States. Following the Joint Inspection Unit evaluation, the Secretariat made fresh efforts to seek financial and political support for the Institute by Member States, donors, and other interested States. Meetings at the bilateral, regional and multilateral levels were organized with Member States aimed at raising awareness of the situation of INSTRAW and of progress made in designing and implementing its new

working method, the Gender Awareness Information and Networking System (GAINS), as well as in the structural reorganization of the Institute.

108. Demonstrations of the GAINS prototype were organized for Member States and the non-governmental organization community at the twenty-third special session of the General Assembly entitled "Women 2000: gender equality, development and peace for the twenty-first century" and the 2000 substantive session of the Economic and Social Council. These efforts set the stage for improving the environment for the Institute's revitalization work to change its working methods and programmes. This improved environment was reflected in a series of resolutions and decisions of the General Assembly and the Economic and Social Council that were supportive of INSTRAW and acknowledged the important work carried out by the Institute. Member States reiterated their interest in the revitalization of the Institute, especially through the implementation of new information and communication technologies and GAINS.

109. As a result of those efforts, the Institute received voluntary financial contributions that allowed it to implement important measures of institutional restructuring and revitalization and to sustain its operations beyond 1999 and 2000. However, the financial support received from Member States is still insufficient to secure the Institute's long-term sustainability. Although the General Assembly decided to advance the Institute up to US$ 800,000 for 2001, pending receipt of voluntary contributions, on a one-time, exceptional and emergency basis (decision 55/457, para. 3 (b)), the goal of achieving the Institute's sustainability beyond December 2001 has not been reached (see response to recommendation 5 in para. 137 below).

110. In the implementation of Joint Inspection Unit recommendation 1(d) related to the diversification of its sources of funding, the statute of INSTRAW was amended by the Economic and Social Council in paragraph 7 of its resolution 2000/24. However, to date, no other amendments have been made nor suggested by relevant bodies as outlined in the statute of the Institute.

111. **In recommendation 2 (a), the need for a more active role of the INSTRAW Board of Trustees in fund-raising was identified.**

112. Pursuant to the recommendation, the Board of Trustees, at its twentieth session, decided to form a network, namely, "Friends of INSTRAW" to work towards these ends. To date, unfortunately, no concrete steps have been taken in this direction by the Board.

113. **Recommendation 2 (b) called for the strengthening of regional offices to aid visibility and facilitate fund-raising.**

114. Various means of expanding the Institute's visibility and outreach have been sought through the sensitization of key stakeholders during the process of restructuring and revitalization through GAINS. The closure of the New York Office, however, has hampered visibility and outreach among potential donor countries and United Nations organizations. Since the launching of GAINS in June 2000 during the twenty-third special session of the General Assembly however, the Institute has significantly expanded its outreach, especially at the grass-roots level in developing countries.

115. **In recommendation 2 (c), the establishment of a P-3/P-4 post for fund-raising activities was proposed.**

116. Owing to the subsequent restructuring of INSTRAW based on its new working method as contained in the report of the Secretary-General to the General Assembly (A/54/500), the Institute's units have been restructured and its staffing table modified. The new staffing table of INSTRAW does not include a full-time fund-raising post to be located in the INSTRAW Liaison Office in New York. Furthermore, owing to the serious financial situation that faced INSTRAW in 1999, the Liaison Office in New York has been closed. In 2001, a consultancy firm was contracted to develop a fund-raising strategy, identify new sources of funding and prepare publicity materials.

117. **In recommendation 2 (d), it was stated that the Director of INSTRAW, in cooperation with the Under-Secretary-General for Economic and Social Affairs and the Special Adviser on Gender Issues and the Advancement of Women, should make extensive efforts to revitalize fund-raising activities and diversify the Institute's financial sources in order to secure sustainability for INSTRAW. This included fund-raising for the GAINS Project — Phases I, II, III, IV, and the preparation of an extensive Portfolio of GAINS-related extrabudgetary project proposals and submitting**

them to various foundations, such as the United Nations Foundation for International Partnerships (UNFIP), and, as suggested in recommendation 2 (e), the Development Account in the Department of Economic and Social Affairs of the Secretariat, the European Commission and bilateral technical cooperation agencies.

118. During the past two years, there have been numerous efforts to revitalize and strengthen INSTRAW fund-raising activities. The Director of INSTRAW, with the support of the Special Adviser on Gender Issues and the Advancement of Women of the Secretariat, held a number of meetings with Member States and other donors for fund-raising purposes. Attempts were also made to foster inter-agency collaboration and develop joint programmes aimed at sharing and rationalizing resources. In addition, several meetings were held with individual member Governments and various donor countries were visited in order to meet with officials of different intergovernmental organizations, such as the European Union, the Commonwealth Secretariat and the International Organization of la Francophonie. INSTRAW has also submitted project proposals for funding to the United Nations Fund for International Partnerships (UNFIP) and the Development Account. To date, however, none of the above-mentioned initiatives have been successful in attracting financial support.

119. In order to approach the private sector, INSTRAW contracted a private, United States-based firm in order to develop a publicity and fund-raising strategy targeting specifically the private sector. The Institute is currently developing a fund-raising plan based on the publicity and fund-raising strategy proposed by Metropolitan Group Inc.

120. **Recommendation 2 (f) stipulated that the Controller of the United Nations should monitor the Trust Fund for the Institute and adjust the current allotment in line with available resources.**

121. In order to respond to the immediate financial crisis, funds enabling the Institute's operation until the end of year 1999 were authorized by the United Nations Controller, as reported by the Secretary-General in his comments to the Joint Inspection Unit report submitted to the General Assembly and to the Economic and Social Council (A/54/156/Add.1-E/1999/102/Add.1, annex, para. 9).

122. **Recommendation 3 (a) called for the appointment of an experienced "Women in Development" professional as the Acting Director at the Institute's headquarters in Santo Domingo and the United Nations Secretariat.**

123. In September 1999, an experienced professional was appointed as Director of INSTRAW. The post of Director of INSTRAW has been filled since that time.

124. **According to recommendations 3 (b) and 3 (c), the Executive Director and Management Branch of the Institute should be strengthened by including the Office of the Director with overall policy direction, coordination, liaison, and advocacy, a Deputy Director with responsibility for day-to-day management and the implementation of a plan to have separate substantive units.**

125. The new structure of INSTRAW proposed in the report of the Secretary-General (A/54/500) was approved by the General Assembly in its resolution 54/140 of 17 December 1999. Accordingly, the above recommendations should be viewed in the light of the new structure of INSTRAW, as approved by the General Assembly and Economic and Social Council.

126. **Recommendation 3 (d) supported the appointment of an Administrative Officer at the P-3 level at the Institute's headquarters.**

127. Although the post of Administrative Officer has been established at the P-3 level, in view of financial uncertainty regarding the 2002 budget, it continues to be encumbered by a General Service staff member.

128. As indicated in the comments by the Secretary-General to the Joint Inspection Unit report (A/54/156/Add.1 and E/1999/102/Add.1, annex, para. 11), while the Secretary-General supports the concept of staff mobility, lifting the service limitations for INSTRAW staff would have to be reviewed within the context of a Secretariat-wide policy review of all staff serving under similar conditions of service. Such review and change in the conditions of service of INSTRAW staff has not been undertaken to date.

129. **Recommendation 4 (a) called for expediting the process of international recruitment, bearing in mind the large impact of vacancies on a small core staff.**

130. In view of insufficient voluntary contributions for 2002 and the related uncertainty surrounding the future

operations of INSTRAW, there is no urgency for an immediate solution on this matter. Consultations were nevertheless held with the Office of Human Resources Management in 1999 to expedite the international recruitment process. The Office agreed to look favourably at the Institute's recruitment needs and to expedite the processing and advertising of vacancies.

131. **In recommendation 4 (b), it was requested that INSTRAW be compensated for the "infructuous appropriation" of its funds.**

132. As explained in paragraph 26 of the Secretary-General's report (A/55/385), there was no irregular payment of $243,000 to the former Chief of Administration of INSTRAW. The amount of $18,837.40 was erroneously charged to INSTRAW as payment and allowances of the Chief of Administration for two months only. The amount has been returned to INSTRAW and the Board of Auditors was asked to verify its accuracy.

133. **Recommendation 4 (c) stipulated that the Secretariat should review its administrative procedures in respect of INSTRAW with the objectives of greater efficiency in the provision of service, improved cooperation and transparency.**

134. The Secretariat reviewed its administrative procedures in respect of INSTRAW in order to streamline them, in particular in so far as they relate to the processing of voluntary contributions and the timely depositing of them to the INSTRAW Trust Fund. Significant progress was also achieved in improving cooperation and transparency between the Office of the Controller, INSTRAW and the Office of the Special Adviser on Gender Issues and Advancement of Women in overcoming financial and other problems encountered by the Institute.

135. **Recommendation 5 called upon Member States to consider an amendment to the statute of INSTRAW to permit a subvention from the United Nations regular budget to finance the post of Director and other core posts of INSTRAW.**

136. The General Assembly, in its resolution 55/219 of 23 December 2000, decided, in view of the difficult financial situation of the Institute, to provide it with financial assistance on a non-recurrent basis, in a manner to be determined, in order to enable it to continue its activities throughout 2001.

137. As indicated in General Assembly decision 55/457, the provision of funds to the Institute from the United Nations regular budget constitutes a one-time exception to the provisions of article VI, paragraph 1, of the statute of the Institute. In this connection, the Institute would be advanced up to $800,000 for 2001, pending receipt of voluntary contributions on a one-time, exceptional basis. If voluntary contributions are insufficient to meet the Institute's requirements for 2001, this advance, less voluntary contributions received, will be considered a one-time only subvention (see response to recommendation 1, para. 109 above).

138. **Recommendation 6 (a) called upon Member States to restate their commitment to the mandate of INSTRAW in resolutions of the Economic and Social Council and the General Assembly.**

139. The Secretariat is fully supportive of recommendation 6 (a) and is pleased to report that Member States of the United Nations have restated their commitment to the mandate of INSTRAW in 1999-2000 resolutions, such as General Assembly resolution 54/140 of 17 December 1999, entitled "Revitalization and strengthening of the International Research and Training Institute for the Advancement of Women", General Assembly resolution 55/219, entitled "The critical situation of the International Research and Training Institute for the Advancement of Women" and Economic and Social Council resolution 2000/24 of 28 July 2000, entitled "Revitalization and strengthening of the International Research and Training Institute for the Advancement of Women".

140. In reference to recommendation 6 (b) related to the need to avoid overlap between activities of the Division for the Advancement of Women, INSTRAW and the United Nations Development Fund for Women, these United Nations entities have intensified their efforts to collaborate and avoid duplication. Particularly useful has been the regular participation by INSTRAW in the Inter-Agency Meeting on Women and Gender Equality sessions that enhance coordinated efforts and joint planning and implementation of inter-agency activities. For example, in view of its mandate in training and its new GAINS system, which contains a database of gender-related resources, INSTRAW has partnered with UNICEF and the United Nations Development Fund for Women as task managers for the compilation of the gender training project initiated by the Inter-Agency Meeting. Further improvement of the

Institute's potential for inter-agency coordination is expected to be achieved when the GAINS system becomes fully operational.

141. **Recommendation 7 called for the pursuit of some proposals put forward in the strategic plan and work programme 2000-2003, for the reinforcement of the Institute's existing cooperation with the International Training Centre of the International Labour Organization and to seek closer relations with other research and training institutions of the United Nations.**

142. INSTRAW made every effort to implement provisions contained in recommendation 7 (a) and (b). From 1999 to 2001, the Board of Trustees maintained closer contact with the Institute's management. Particularly important were the efforts of the Board of Trustees during 1999, when candidates were sought to fill the vacant post of the Director of the Institute. During this period, the President of the Board of Trustees was actively engaged in the preparation of proposals and negotiations with Member States during the 1999 substantive session of the Economic and Social Council, as well as day-to-day contacts with the staff of the Institute. During those years, the Board was kept abreast of, and participated in, the revitalization efforts being undertaken by the Institute. For example, in October 2000, the President of the Board and the Director of INSTRAW attended the fifty-fifth session of the General Assembly, during which attention was drawn to the financial situation of the Institute. In relation to the establishment of an endowment fund, notwithstanding the Secretary-General's support of this proposal, neither the INSTRAW Board of Trustees nor Member States have recommended follow-up initiatives.

143. Following the Joint Inspection Unit evaluation, the Institute made efforts to seek closer relations with other research and training institutions of the United Nations system, such as UNU, the United Nations Institute for Training and Research (UNITAR) and the United Nations Research Institute for Social Development (UNRISD), as well as academic and training institutes outside the United Nations system. Particularly fruitful has been its collaboration with UNU in the area of conflict and governance. For example, with UNU financial support, INSTRAW organized and hosted in Santo Domingo a UNU workshop on conflict and conflict prevention in December 1999.

144. In the past two years, INSTRAW established close collaboration with diverse academic institutions, research, and training centres outside the United Nations system as part of its new programme activities. The establishment of the GAINS network of research and training centres is one of the central components of the Institute's new method of work relying on networking and new communications technologies. More detailed information on implementation of this recommendation is available at the INSTRAW web site: http://www.un-instraw.org.

VII. Results-based budgeting: the experience of United Nations system organizations

145. Pursuant to the request of the General Assembly contained in its resolution 53/205 of 18 December 1998, a report of the Joint Inspection Unit regarding the experience of United Nations system organizations with results-based budgeting techniques (A/54/287) was submitted to, and considered by, the Assembly during its fifty-fifth session.

146. ***Recommendation 1.*** **In order to assure appropriate guidance from Member States in resolving the problem of the lack of agreed definitions for key results-based budgeting terms, the glossary of financial and budgetary terms, currently being updated by the Consultative Committee on Administrative Questions of the Administrative Committee on Coordination, should be reviewed and commented upon by the appropriate bodies of the United Nations system organizations.**

147. The secretariat of the Administrative Committee on Coordination is preparing a comprehensive inventory of definitions used throughout the United Nations system, with a view to the holding of a joint discussion on updating such terms by the High-level Committee on Programmes and the High-level Committee on Management. It should be borne in mind that, given the diverse nature of the organizations, funds, programmes and agencies concerned, as well as the different contexts in which the terms are applied, a harmonization of all definitions may not always be possible.

148. Pending the outcome of these discussions, the definitions of terms contained in the Regulations and

Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation,[2] which are the terms and definitions approved by the General Assembly, will continue to apply to the work of the United Nations.

149. ***Recommendation 2.*** **As a means for seeking to resolve existing concerns about the possible adaptation of results-based budgeting to the United Nations, and in order to assure an appropriate participatory role of Member States in adapting results-based budgeting to the United Nations, an open-ended working group should be established at the level of the Fifth Committee, to meet during the main part of the fifty-fourth session of the General Assembly and thereafter, as needed, within existing resource levels, at which Secretariat officials, including from secretariats of other organizations, to the extent possible, would provide briefings and respond to questions on all aspects of results-based budgeting.**

150. This recommendation was not specifically addressed by the General Assembly in its resolution 55/231 on results-based budgeting, and has been overtaken by events. The discussions of the Fifth Committee during the fifty-fifth session which led to the adoption of resolution 55/231 were conducted during both formal and informal meetings of the Fifth Committee as a whole. The Office of Programme Planning, Budget and Accounts provided briefings and responded to questions raised by delegates in those meetings.

151. ***Recommendation 3.*** **Subject to a General Assembly decision to use results-based budgeting for the United Nations, the United Nations Staff College and the United Nations Institute for Training and Research should be invited to conduct seminars and workshops to help familiarize staff and representatives of Member States with results-based budgeting.**

152. This recommendation was not addressed as such by the General Assembly and consequently, the United Nations Staff College and the United Nations Institute for Training and Research have not been specifically requested to undertake such training. In its resolution 55/231, the Assembly did, however, invite the Secretary-General to take appropriate measures to develop on a continuous basis and to implement an adequate training programme to ensure that staff, as appropriate, are proficient in results-based budgeting concepts and techniques, including in the formulation of expected accomplishments and indicators of achievement.

153. As described in the introduction to the proposed programme budget for the biennium 2002-2003, a variety of training measures were taken during the preparation of that programme budget to ensure that key staff were familiar with results-based budgeting techniques. Further training courses on those techniques are now also offered in the 2001 career development programme, which is open to all staff. Other aspects of training staff are also discussed in the above-mentioned introduction.

154. With regard to representatives, the Secretariat is ready and willing to provide further informal briefings as necessary in the context of the Assembly's discussion of the proposed programme budget for 2002-2003. Depending on the level of interest of delegates, the Secretariat will make the necessary arrangements.

155. ***Recommendation 4.*** **Future reporting by the Secretary-General on results-based budgeting should include a comprehensive assessment of changes that would be required to assure the readiness of the Organization for results-based budgeting, regarding areas such as regulations, procedures, management information systems and training.**

156. This recommendation has been implemented. Paragraphs 64 to 73 of the report of the Secretary-General on results-based budgeting (A/54/456) provide a description of changes or conditions necessary for the implementation of the results-based budgeting elements. In addition, as requested by the General Assembly in resolution 55/231, the introduction to the proposed programme budget for the biennium 2002-2003 contains an analysis of the information, management control and evaluation systems required to implement the proposals contained in document A/54/456, and of the capacity and limitations of existing systems. The Secretary-General will continue assessing the need for changes to facilitate the further implementation of results-based budgeting.

157. ***Recommendation 5.*** **Reflecting the uncertainty about how to reflect external factors in the accountability of programme managers under**

results-based budgeting, the Secretary-General should submit to the General Assembly as soon as possible a report containing recommendations on the matter, accompanied by the comments of the Advisory Committee on Administrative and Budgetary Questions and the Committee for Programme and Coordination.

158. The Secretary-General focused on the question of external factors in his report on results-based budgeting (A/54/456). The General Assembly, in its resolution 55/231, stressed that external factors specific to the objectives and expected accomplishments should be identified in the proposed programme and that assessment of performance should reflect, and not be distorted by, the impact of unforeseen external factors. This has been taken into account in the proposed programme budget for 2002-2003. The recommendation of the Joint Inspection Unit has therefore been implemented.

159. ***Recommendation 6.*** **In view of their roles in the current programme budget process, the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions should be invited to comment on their respective roles under results-based budgeting.**

160. This recommendation was not specifically addressed by the General Assembly. In paragraph 3 of its resolution 55/231, however, the Assembly reaffirmed the respective mandates of the Advisory Committee on Administrative and Budgetary Questions and the Committee for Programme and Coordination in the consideration of the proposed programme budget.

Notes

[1] E/2000/5.

[2] ST/SGB/2000/8.

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Missiles

Report of the Secretary-General

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I. Introduction

1. In operative paragraph 2 of its resolution 55/33 A of 20 November 2000, entitled "Missiles", the General Assembly requested the Secretary-General to seek the views of all Member States on the issue of missiles in all its aspects, and to submit a report to the Assembly at its fifty-sixth session.

2. By a note verbale dated 9 February 2001, all Member States were invited to communicate their views on the issue. To date, seven Member States have replied. Their responses are reproduced in chapter II. Any replies received subsequently will be issued as addenda to the present report.

II. Replies received from Member States

A. Belarus

[Original: English]
[18 May 2001]

1. The Republic of Belarus perceives with anxiety the challenges to the modern international community posed by the proliferation of missiles capable of delivering weapons of mass destruction and technologies for their manufacture. In view of this, the activities of the Missile Technology Control Regime (MTCR), as well as efforts aimed at setting up the Global Control System for the Non-proliferation of Missiles and Missile Technologies (GCS) are considered timely and well grounded.

2. The Republic of Belarus believes that the United Nations should play a leading role in coordinating efforts in the area of missile non-proliferation.

3. Belarus believes that it is expedient to develop, within the United Nations framework, guidelines in the area of non-proliferation of missiles and missile technologies which could serve as a basis for a comprehensive missile non-proliferation regime. Major elements of such a regime could include, among others, a regime to ensure non-proliferation of missiles and missile technologies, a regime for transparency in missile launches and confidence-building measures in this area, and a regime for international consultations. It is also necessary to envisage mechanisms for providing incentives, encouragement and security assurances to the States that have renounced or are renouncing the possession of missiles and missile technologies. To develop detailed proposals on establishing such a regime, it is advisable to utilize the experience accumulated within MTCR as well as that accumulated during the development of GCS.

4. It is advisable also to use a non-discriminatory and stage-by-stage approach to solving the problems of missile non-proliferation that should involve all interested States that have missile programmes and possess missiles or technologies for their manufacture.

5. In this context, it would be a positive step to establish a panel of governmental experts within the United Nations to prepare a report for the consideration of the General Assembly at its fifty-seventh session on the issue of missiles in all its aspects as well as to include in the provisional agenda of its fifty-sixth session the item entitled "Missiles".

B. Bolivia

[Original: Spanish]
[14 June 2001]

The Permanent Mission of Bolivia to the United Nations presents its compliments to the Department for Disarmament Affairs of the United Nations Secretariat and, with reference to the note verbale concerning General Assembly resolution 55/33 A, entitled "Missiles", has the honour to inform it that, according to information received from the Ministry of Foreign Affairs of Bolivia, the armed forces of Bolivia do not possess this type of weapon at present and do not intend to acquire or manufacture such weapons in the future.

C. El Salvador

[Original: Spanish]
[21 June 2001]

1. The Permanent Representative of El Salvador to the United Nations presents his compliments to the Secretary-General of the United Nations and refers to note DDA/7-2001/MISL, in which the Secretary-General refers to resolution 55/33 A, entitled

"Missiles", adopted by the General Assembly on 20 November 2000. Paragraph 2 of that resolution requests Member States to transmit their views on the issue of missiles in all its aspects.

2. The Permanent Representative has the honour to report that in the view of the Government of El Salvador, the issue of missiles in the conventional context should remain in the category of conventional arms, as set out in resolution 46/36 L, adopted by the General Assembly on 9 December 1991.

D. Mexico

[Original: Spanish]
[21 May 2001]

1. In Mexico's view, the consideration of this item, in the context of an inclusive, multilateral and non-discriminatory exercise directed at a universal agreement, cannot be postponed. Accordingly, Mexico encourages the efforts of the international community to implement at an early date the mandate established by paragraph 3 of the resolution in question, which requests the Secretary-General of the United Nations, with the assistance of a panel of governmental experts to be established on the basis of equitable geographical distribution, to prepare a report on the subject for the consideration of the General Assembly at its fifty-seventh session.

2. Mexico reaffirms, as it stated during the 2000 Review Conference of the Parties to the Treaty on the Non-Proliferation of Nuclear Weapons, how important it is to preserve and implement the Treaty on the Limitation of Anti-Ballistic Missile Systems as a cornerstone of strategic stability and as a basis for further reductions of strategic offensive weapons.

3. Mexico considers it essential that the United Nations be involved in the design of a multilateral mechanism on missiles and missile technology, which would benefit from the experience of other existing international mechanisms and initiatives in the field of disarmament and non-proliferation.

4. The international panel of experts could study, inter alia, issues relating to the capability of missiles to deliver weapons of mass destruction, missile type, technology and launching systems, verification, prevention of the development, production and proliferation of missiles for non-peaceful purposes, confidence-building and transparency measures, international cooperation, peaceful uses of missiles and missile technology.

5. A regime for the non-proliferation of missiles and missile technology must necessarily take into account potential illicit flows that could impair the credibility of the relevant control or regulation system. It must also provide for the impact, influence and status of the outer space legal regime, so as to preserve it from militarization.

E. Russian Federation

[Original: Russian]
[8 June 2001]

Missile proliferation

1. General Assembly resolution 55/33 A, entitled "Missiles", reflects the concern of the international community about missile proliferation. This problem is primarily regional in character and has become a pressing issue in recent years with the increase in the number of countries developing missile programmes, due in no small measure to the announcement by the United States of America in 1996 of a programme to prepare for the deployment of a national anti-missile defence system. The implementation of this programme would lead to the dismantling of the established system of treaties and agreements in the fields of arms control and non-proliferation and, overall, to the undermining of strategic stability in the world and international security.

2. The reasons for missile proliferation are, to a considerable extent, the attempts of States to find answers to the political instability in individual regions of the world and their efforts to ensure their security and stimulate industrial and economic development through access to missile and space technologies. Individual countries are seeking to strengthen their political and military influence by building and perfecting rocket weapons. The fact that demand begets supply is also of no small importance. In addition, the creation and deployment by the United States of America of a national anti-missile defence system, which is prohibited under the Treaty on the Limitation of Anti-Ballistic Missile Systems (ABM Treaty) of

1972, would give a major impetus to missile proliferation.

Previous measures

3. The making of international efforts to contain and limit ballistic missiles is not new. The first mechanisms for that purpose were established through the efforts of the Union of Soviet Socialist Republics and the United States of America, which had the largest arsenals of such missiles. They took a number of steps to limit, reduce and eliminate rocket weapons designed for military purposes, having recognized the military and financial irrationality of maintaining their stockpiles. Such steps were made possible by the obligation laid down in the ABM Treaty to refrain from deploying anti-ballistic missile systems to defend the territory of their countries and from creating the basis for such defence, which was a necessary condition that ensured the reduction of strategic offensive weapons. As the world community has recognized, the ABM Treaty continues to be a cornerstone of strategic stability and the basis for cuts in strategic offensive weapons.

4. The Treaty between the United States of America and the Union of Soviet Socialist Republics on the Elimination of their Intermediate-Range and Shorter-Range Missiles (INF Treaty) of 1987 was of significant importance for missile non-proliferation. As a result of the Treaty, the Russian Federation and the United States of America completely eliminated an entire class of their ground-based missiles with ranges of 500 to 5,500 kilometres. Altogether, 2,690 such missiles were eliminated.

5. The process of limiting strategic ballistic missiles began with the strategic arms limitation treaties (SALT) of the 1970s. The genuine reduction and elimination of strategic ballistic missiles with ranges of more than 5,500 kilometres commenced with the Treaty on the Reduction and Limitation of Strategic Offensive Arms (START I) of 1991. In accordance with this Treaty, as at 1 January 2001, 2,810 intercontinental and submarine-launched ballistic missiles had been eliminated. Deeper reductions are envisaged under START II, which was ratified by the Russian Federation in 2000. The Russian Federation is also prepared to begin immediate negotiations on a new START III that would provide for the further limitation and reduction of all strategic offensive arms without exception, including long-range sea-based cruise missiles.

Ways and means of addressing the problem

6. The situation that has arisen in the world with respect to missile proliferation demands that the problem be addressed by using the existing international legal mechanisms and establishing new ones to contain and limit the proliferation of missiles and missile technologies. It is also very important to maintain a reasonable balance between the interests of States' economic development linked to the use of missile technologies and their legitimate security interests.

7. In order to be effective, the future control mechanism for the non-proliferation of missiles and missile technologies must meet specific criteria. In political terms, such a mechanism must be acceptable to the international community and constitute a universally recognized goal. It must be open for participation by all interested States on an equal and non-discriminatory basis. The future mechanism could be called the Global Control System for Non-Proliferation of Missiles and Missile Technologies (GCS). It must be developed and operate under the auspices of the most universal and representative organization. The United Nations is such an international organization, and its Security Council bears the main responsibility for maintaining peace and international security.

8. From an organizational viewpoint, GCS must incorporate a number of elements: a multilateral regime for transparency with respect to missile launches as a confidence-building measure; measures to promote and ensure the security of States that renounce national missile programmes; and multilateral consultations on the problem of missile proliferation. Such consultations could be devoted from the outset to the joint analysis and evaluation of the missile threat. Such an approach would make it possible to avoid both underestimating this threat and taking measures disproportionate to its level. Participation in GCS by all the nuclear-missile States would contribute to its effectiveness. Its establishment would be a political and diplomatic alternative to solving by military force the problem of missile proliferation linked to the building of anti-missile defence systems. Of course, in the event that anti-missile defence systems were deployed by individual countries or military-political blocs, such a mechanism would be senseless since the national anti-missile defence system of the United States of America

would constitute the major impetus for missile proliferation.

9. The establishment of GCS has been discussed on two occasions, at the international working meetings of experts held in Moscow in March 2000, and February 2001 on the initiative of the Russian Federation. During these meetings, broad support was expressed for GCS and the view was expressed that the issue should be considered under United Nations auspices. The preparation by the Secretary-General, pursuant to General Assembly resolution 55/33 A, of a report on the issue of missiles in all its aspects for consideration by the Assembly at its fifty-seventh session answers this purpose.

Use of existing international experience

10. The multilateral regime for transparency with respect to missile launches would be one of the key elements of GCS. There is a precedent for such a regime in the practice of certain countries. The Agreement between the United States of America and the Union of Soviet Socialist Republics (now the Russian Federation) on Notification of Launches of Intercontinental Ballistic Missiles and Submarine-Launched Ballistic Missiles has been in force since 1988. Pursuant to this Agreement, the parties give one another prior notification of planned missile launches. In December 2000, the Russian Federation and the United States of America signed a Memorandum of Understanding on Notification of Missile Launches in accordance with which the current regime for exchanging notifications between the two countries is being expanded and technical capacity is being developed with a view to turning the bilateral notification system into a multilateral system (the system's architecture would allow for 200 users). The multilateral regime for transparency with respect to missile launches could be based at the Russian-American Centre for the Exchange of Data from Early Warning Systems and Notification of Missile Launches that is being established in Moscow or at any other agreed location.

11. There are other bilateral mechanisms in addition to the aforementioned Russian-American arrangements for notification of missile launches. In 1999, India and Pakistan signed a memorandum of understanding containing, inter alia, a commitment to the principle of prior notification of ballistic missile launches. The Convention on Registration of Objects Launched into Outer Space, which entered into force in 1976, provides useful legal experience in this area.

12. Experience in preventing missile proliferation has been gained through the Missile Technology Control Regime (MTCR). The guiding principles of MTCR are the limitation of the risk of proliferation of weapons of mass destruction through the control of supplies that could facilitate the creation of systems for their delivery. It is important to take into account that MTCR is not aimed at impeding the development of national space programmes and international cooperation in the peaceful use of outer space; nor is the future GCS. The MTCR partner countries have developed a draft code of conduct for the prevention of the proliferation of ballistic missiles, which has been submitted for discussion by the international community. The common ideology of seeking solutions to the challenges of missile proliferation through political and diplomatic methods, which is reflected in both the draft code and GCS, makes it possible to consider these areas as complementing one another. With the necessary revisions, the measures proposed in the draft code could be an integral part of the Global Control System for Non-Proliferation of Missiles and Missile Technologies.

The international treaty as a basis for the future regime

13. The task of establishing the Global Control System would be tackled through the elaboration of an international agreement or agreements which would define the methods and areas for developing relations between States in this specific field, their rights and obligations and ways and means of achieving objectives. Of course, the establishment of such a multifaceted global mechanism like GCS would require time, phased implementation and definite consistency of action. At the initial stage, it would make sense to tackle those issues that can be effectively resolved most readily. As the international meetings of experts on the Global Control System in Moscow demonstrated, the multilateral regime for transparency regarding rocket launches, in respect of which there is the most international experience, is such an issue for the near future. The simultaneous consideration of the question of incentives and guarantees cannot be excluded either.

14. The goals of the international community are seen in the building, through joint efforts, of an effective

comprehensive control mechanism for the non-proliferation of missiles and missile technology, which would operate on a voluntary, equitable and non-discriminatory basis. The creation of a closed club of missile States, domination by any group of countries in matters relating to missile non-proliferation, or the division of States into groups by virtue of which different codes of regulations would be in effect for different countries would be counter-productive.

Further steps

15. In observing the conditions set forth above, the work of establishing the Global Control System must be conducted at a broad international representative forum. In this connection, the practical elaboration of an agreement or agreements could be carried out directly within the framework of the United Nations, which would establish for these purposes the corresponding negotiating body or would entrust the matter to one of its already existing bodies. Making use of the Conference on Disarmament in Geneva, for which the United Nations could prepare a corresponding mandate, is another option. At such negotiations, the Conference should have the primary role as the sole multilateral forum for conducting negotiations on the questions of arms limitations and disarmament.

F. Saudi Arabia

[Original: Arabic]
[29 May 2001]

1. Reference is made to your note dated 16 February 2001 (DDA/7-2001/MISL), which refers to paragraph 2 of General Assembly resolution 55/33 A, entitled "Missiles".

2. We should like to state that the Kingdom of Saudi Arabia is making every possible effort to rid the Middle East region of weapons of mass destruction and is doing so by participating actively in the drafting of a convention to achieve that goal at the earliest possible opportunity.

3. Saudi Arabia has signed all of the conventions for the prohibition of weapons of mass destruction, whether chemical, biological or nuclear weapons, without commitment regarding the means of delivery of such weapons, customarily ballistic missiles.

4. Resolution 55/33 A suggests a limitation on the possibility of developing capacities in the ballistic missile field by which Saudi Arabia can only be bound when neighbouring countries and Israel [also] assume such obligations.

G. Sweden (on behalf of the States Members of the United Nations that are members of the European Union)

[Original: English]
[5 June 2001]

1. The member States of the European Union abstained in the vote on resolution 55/33 A. The reason for this was not so much the contents of the resolution, much of which we agree with, but rather what was not included. In our view, the resolution lacks sufficient focus, in particular regarding what we see as the overriding problem in the field of missiles, that is, the proliferation of ballistic missiles, and in particular those capable of carrying weapons of mass destruction. This is an urgent problem and one that deserves our highest attention.

2. The European Union notes with concern that strategies of acquisition or development of ballistic missiles are often pursued as a response to regional tension, despite the adverse consequences for regional, as well as global, security and stability that such actions may provoke. While reaffirming our commitment to rigorous export controls as well as support for regional peace initiatives — as important ways of addressing the problem of missile proliferation — we also note that such efforts need to be complemented by global, multilateral approaches.

3. The European Union thus sees an urgent need for the development of globally accepted norms in support of ballistic missile non-proliferation, analogous to the norms laid down in the international regimes designed to curtail proliferation of nuclear, biological and chemical weapons. The most advanced and promising initiative in this field is the draft international code of conduct, ideas on which were developed within the Missile Technology Control Regime. The European Union recognizes the particular importance of ensuring that the multilateralization of the draft international code of conduct proceeds at a pace. The European Union continues to examine how this might best be

achieved. The European Union is also actively engaged in broad-based consultations with interested States. In order to achieve its objective, the process of promoting the international code of conduct must remain transparent and inclusive, avoiding discrimination against any State wishing to engage in the development of, or subscribe to, the international code of conduct.

4. The European Union welcomes the establishment of a United Nations Expert Group, in accordance with General Assembly resolution 55/33 A, as a potentially useful mechanism in the multilateral consideration of the issue of missiles. We would like to underline, however, that the United Nations Expert Group is not a negotiating or drafting forum. In our view, it is vital that the Group focus its work on ways and means of preventing or reducing missile proliferation and also on disarmament issues. Important issues that might be considered in the United Nations Expert Group include transparency, confidence-building measures and verification. In this connection, the European Union would like to draw attention to the different elements of the draft international code of conduct. These are of particular importance with respect to ballistic missiles and space programmes considering that there are similarities between both types of programmes in terms of technology, facilities and expertise.

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Missiles

Report of the Secretary-General

Addendum

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China

[Original: Chinese and English]
[29 July 2001]

1. The proliferation of weapons of mass destruction constitutes a threat to international peace and security. In this connection, since missiles with certain ranges and payloads can be used as means of delivery of weapons of mass destruction, the proliferation of such missiles has also drawn increasing attention in the international community.

2. Missile proliferation is closely related to the global and regional security environment. The solution of this issue should therefore be linked to the establishment of a new security concept, seeking security through cooperation. It should be strongly emphasized that the practice of power politics and the abuse of force in international affairs should be abandoned to ensure the security of all countries.

3. To prevent the proliferation of weapons of mass destruction and their means of delivery requires the participation of the entire international community. The Treaty of Non-proliferation of Nuclear Weapons, the Biological Weapons Convention and the Chemical Weapons Convention are successful examples in this regard. These treaties have laid an important legal foundation for the international efforts in preventing the proliferation of weapons of mass destruction. A universal and non-discriminatory multilateral regime should also be set up in the field of missile non-proliferation. Some existing export control regimes with exclusive membership have proven to be ineffective in solving the problem of missile proliferation.

4. Many missile-related technologies have dual military and civil uses. The establishment of a missile non-proliferation regime should therefore be conducive to the promotion of international cooperation on the peaceful use of outer space.

5. To exaggerate the threat of missile proliferation and to employ such threats as an excuse for pursuing a missile defence system that disrupts the global strategic balance and stability will not be conducive to solving the missile proliferation problem. On the contrary, it will only further complicate the problem and even increase the risk of proliferation. Missile defence itself has become one of the most prominent issues in this field.

6. China supports the United Nations in playing an active and important role in addressing the issue of missiles. The Panel of Governmental Experts on Missiles in All Their Aspects should, in order to ensure undiminished security for all countries, study and discuss issues such as the relationship between the regional security environment and missile programmes, assessment of "missile threat", missile defence programmes, and the establishment of global missile non-proliferation regime in a progressive manner.